

GRANT REQUEST FORM (GRF)

CEC-270 (Revised 10/2015)

CALIFORNIA ENERGY COMMISSION

New Agreement EPC-15-030 (To be completed by CGL Office)

Division	Agreement Manager:	MS-	Phone
ERDD	Diana Gonzalez	51	916-445-5309

Recipient's Legal Name	Federal ID Number
Cleantech San Diego Association	26-1584423

Title of Project
San Diego Regional Energy Innovation Cluster

Term and Amount	Start Date	End Date	Amount
	5/1/2016	3/31/2022	\$ 5,000,000

Business Meeting Information
 ARFVTP agreements under \$75K delegated to Executive Director.

Proposed Business Meeting Date	4/13/2016	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Diana Gonzalez	Time Needed:	5 minutes

Please select one list serve. Select

Agenda Item Subject and Description

CLEANTECH SAN DIEGO ASSOCIATION. Proposed resolution approving Agreement EPC-15-030 with Cleantech San Diego Association for a \$5,000,000 grant to enhance, expand and coordinate entrepreneurial assistance services and resources available to clean energy entrepreneurs and researchers in San Diego, Imperial, Riverside, and San Bernardino counties. In addition, this project will work with businesses, local jurisdictions, and other organizations in the region to determine region-specific needs and connect new energy innovations to those needs.

California Environmental Quality Act (CEQA) Compliance

- Is Agreement considered a "Project" under CEQA?
 - Yes (skip to question 2) 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
- If Agreement is considered a "Project" under CEQA:
 - a) Agreement **IS** exempt. (Attach draft NOE)
 - Statutory Exemption. List PRC and/or CCR section number: _____
 - Categorical Exemption. List CCR section number: Cal. Code Regs., tit 14, § 15301 and § 15303
 - Common Sense Exemption. 14 CCR 15061 (b) (3)
 Explain reason why Agreement is exempt under the above section:
 § 15301 Existing Facilities: Agreement will fund collaboration efforts of organizations and entrepreneurs, information gathering and analysis, information-based services, and small forums and other meetings consisting of the operation of existing public and private facilities involving negligible or no expansion of use beyond that existing. § 15303 New Construction or Conversion of Small Structures: Agreement will also fund construction and location of one new, small structure consisting of an accessory (appurtenant) structure which will be a small concrete test pad at a site that has already been cleared and graded.
 - 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
Center for Sustainable Energy	\$ 199,950
San Diego State University Research Foundation	\$ 1,035,279
The Regents of the University of California, San Diego	\$ 1,183,333
CONNECT Foundation	\$ 443,750
University of San Diego	\$ 1,035,317
San Diego Venture Group	\$ 29,691
Inland Empire Economic Partnership	\$ 29,690
Imperial Valley Economic Development Corporation	\$ 29,690
	\$

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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	14-15	301.001B	\$3,000,000
EPIC	15-16	301.001C	\$1,000,000
EPIC	16-17	301.001D	\$1,000,000
			\$
			\$
			\$
R&D Program Area:	EDMFO: EDMF	TOTAL:	\$5,000,000
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

Recipient's Administrator/ Officer		Recipient's Project Manager	
Name:	Jason Anderson	Name:	Marty Turock
Address:	2159 India St Ste 200	Address:	2159 India St Ste 200
City, State, Zip:	San Diego, CA 92101-1766	City, State, Zip:	San Diego, CA 92101-1766
Phone:	858-568-7777 /	Fax:	- -
E-Mail:	jasona@cleantechsandiego.org	E-Mail:	martyt@cleantechsandiego.org

Selection Process Used	
<input checked="" type="checkbox"/> Competitive Solicitation	Solicitation #: GFO-15-306
<input type="checkbox"/> First Come First Served Solicitation	

The following items should be attached to this GRF	
1. Exhibit A, Scope of Work	<input type="checkbox"/> Attached
2. Exhibit B, Budget Detail	<input type="checkbox"/> Attached
3. CEC 105, Questionnaire for Identifying Conflicts	<input type="checkbox"/> Attached
4. Recipient Resolution	<input type="checkbox"/> N/A <input type="checkbox"/> Attached
5. CEQA Documentation	<input type="checkbox"/> N/A <input type="checkbox"/> Attached

_____ Agreement Manager	_____ Date	_____ Office Manager	_____ Date	_____ Deputy Director	_____ Date
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Exhibit A Scope of Work

I. TASK ACRONYM/TERM LISTS

A. Task List

Task #	CPR ¹	Task Name
1		General Project Tasks
2		Define Priority Technology Needs
3		Recruit Entrepreneurs for Cluster Services
4	X	Develop and Deliver Customized Service Plans
5	X	Report Activities, Performance Data, and Lessons Learned
6		Cluster Program Continuation
7		SEED, Accelerator and Incubator Match-Making
8		Evaluation of Project Benefits
9		Technology/Knowledge Transfer Activities

B. Acronym/Term List

Acronym/Term	Meaning
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CPR	Critical Project Review
IOU	Investor Owned Utility
SAN DIEGO REGION	San Diego Region is defined as consisting of the counties of Riverside, Imperial, San Diego and San Bernardino
SEED	Sustainable Energy Entrepreneur Development Initiative
SEED-TAC	Sustainable Energy Entrepreneur Development Initiative-TAC
SD-REIC	San Diego Regional Energy Innovation Cluster
TAC	Technical Advisory Committee

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

A. Purpose of Agreement

The purpose of this Agreement is to fund a collaboration of organizations in the San Diego Region to provide and coordinate key services, assistance, resources, and infrastructure needed by entrepreneurs and researchers in the region to successfully bring to market energy innovations that can benefit Investor Owned Utility (IOU) electric ratepayers.

B. Problem/ Solution Statement

Problem

California's forward-thinking energy policies are spurring a new wave of entrepreneurs and researchers to conceptualize and develop innovative solutions for a cleaner, safer, more

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

affordable, more reliable, and more resilient electric grid that benefits the ratepayer. However, the path-to-market for energy entrepreneurs can be long and full of numerous technical and non-technical barriers. Many entrepreneurs lack viable market strategies, grant application experience, business expertise and connections, and full understanding of the needs of potential customers. In addition, many if not all are under financial and time constraints and do not have the means to purchase and permit the equipment and facilities needed to develop, test, and provide proof of concept of their technologies.

Solution

The Recipient will provide entrepreneurial services, including education/training, testing facilities and resources in the San Diego Region to deliver custom service plans to energy entrepreneurs. Service plans will be optimized to overcome critical limitations to the development and commercialization of energy innovations. This will address the barrier of connecting region-specific needs to emerging technologies.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

- Accelerate the commercialization of energy innovations in the San Diego Region.
- Provide key services, infrastructure, expertise, and resources to energy entrepreneurs in their region to successfully deploy and commercialize their innovations.
- Connect emerging energy technologies to region-specific needs, opportunities, and assets.
- Promote economic growth in the region.
- Advance the San Diego Region in meeting statutory energy goals.
- Organize collaboration and regional planning around energy innovations that will benefit SDG&E and SCE ratepayers.

Ratepayer Benefits:² This Agreement will result in the ratepayer benefits of greater electricity reliability, lower costs, and increased safety by resulting in a portfolio of technologies specifically adapted for priority energy technology needs in the region.

Technological Advancement and Breakthroughs:³ This Agreement will result in the development and commercialization of technological advancements and breakthroughs in energy technology by providing programs, services, and resources designed to meet the needs of energy entrepreneurs.

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

Agreement Objectives

The objectives of this Agreement are to:

- Provide a customized plan of commercialization support services to energy entrepreneurs in the San Diego Region.
- Provide customized entrepreneurial services, including education/training, business development, testing facilities, and advisory support.
- Provide services for 20 to 25 entrepreneurs annually, based on the number of participants in existing programs and the ability to support additional innovation.

III. 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, including the Final Report Outline and Final Report

- 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.
- Consider incorporating all CAM comments into the final product. If the Recipient disagrees with any comment, provide a written response explaining why the comment was not incorporated into the final product.
- Submit the revised product and responses to comments within 10 days of notice by the CAM, unless the CAM specifies a longer time period, or approves a request for additional time.

For products that require a final version only

- Submit the product to the CAM for acceptance. The CAM may request minor revisions or explanations prior to acceptance.

For all products

- Submit all data and documents required as products in accordance with the following:

Exhibit A

Scope of Work

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:

- Data sets will be in MS Access or 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 later.
- 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

Exhibit A Scope of Work

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);
- 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

Exhibit A Scope of Work

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.

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.

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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.
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 progress made on all Agreement activities as specified in the scope of work for the preceding month, including accomplishments, problems, milestones, products, schedule, fiscal status, and 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.

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- Submit a monthly or quarterly *Invoice* that follows the instructions in the “Payment of Funds” section of the terms and conditions, including a financial report on Match Fund and in-state 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 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 the 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. (See Task 1.1 for requirements for draft and final products.)

Recipient Products:

- Final Report Outline (draft and final)

CAM Product:

- Style Manual
- Comments on Draft Final Report Outline
- Acceptance 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, Style Manual, and Final Report Template provided by the CAM with the following considerations:
 - Ensure that the report includes the following items, in the following order:
 - Cover page
 - Credits page on the reverse side of cover with legal disclaimer
 - Acknowledgements page (optional)
 - Preface
 - Abstract, keywords, and citation page
 - Table of Contents (followed by List of Figures and List of Tables, if needed)
 - Executive summary
 - Body of the report
 - References (if applicable)
 - Glossary/Acronyms (If more than 10 acronyms or abbreviations are used, it is required.)

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- Bibliography (if applicable)
- Appendices (if applicable) (Create a separate volume if very large.)
- Attachments (if applicable)
- Ensure that the document is written in the third person.
- Ensure that the Executive Summary is understandable to the lay public.
 - Briefly summarize the completed work. Succinctly describe the project results and whether or not the project goals were accomplished.
 - Identify which specific ratepayers can benefit from the project results and how they can achieve the benefits.
 - If it's necessary to use a technical term in the Executive Summary, provide a brief definition or explanation when the technical term is first used.
- Follow the Style Guide format requirements for headings, figures/tables, citations, and acronyms/abbreviations.
- Ensure that the document omits subjective comments and opinions. However, recommendations in the conclusion of the report are allowed.
- Include a brief description of the project results in the Abstract.
- Submit a draft of the report to the CAM for review and comment. The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt
- Consider incorporating all CAM comments into the Final Report. If the Recipient disagrees with any comment, provide a written response explaining why the comment was not incorporated into the final product
- Submit the revised Final Report and responses to comments within 10 days of notice by the CAM, unless the CAM specifies a longer time period or approves a request for additional time.
- Submit one bound copy of the *Final Report* to the CAM along with *Written Responses to Comments on the Draft Final Report*.

Products:

- Final Report (draft and final)
- Written Responses to Comments on the Draft Final Report

CAM Product:

- Written Comments on the 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.

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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.

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.

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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.
- 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:

Exhibit A Scope of Work

- 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.

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.

Exhibit A Scope of Work

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

IV. 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: DEFINE PRIORITY TECHNOLOGY NEEDS

The goal of this task is to identify priority energy technology needs in the San Diego Region.

The Recipient Shall:

- Assess regional energy needs and opportunities using market analysis and regulatory documentation.
- Establish regional energy technology priorities that will be used to match applicant technologies to state energy targets.
- Conduct a review of state energy goals and create a *Report of Regional Energy Technology Priorities and Needs based on the above*.

Product:

- Report of Regional Energy Technology Priorities and Needs (draft and final)

TASK 3: RECRUIT ENTREPRENEURS FOR CLUSTER SERVICES

The goal of this task is to recruit clean energy entrepreneurs with appropriate technologies for the San Diego Regional Energy Innovation Cluster (SD-REIC) Program. This task will be accomplished by creating an online SD-REIC Program Application Portal for initial screening of program applicants, with a commitment to supporting the inclusion of a diverse group of participants such as small businesses, and women-, disabled veteran-, minority-, and LGBT-owned businesses, as well as economically disadvantaged and underserved communities, to participate in and benefit from the SD-REIC program. A *Bi-annual Marketing/Outreach Evaluation Report* will be developed and shared to generate interest in the SD-REIC Program

The Recipient Shall:

- Develop *Applicant Screening Protocol Criteria Document* based on regional priority technology needs identified in Task 2.
- Develop SD-REIC Program Application Portal to be available to prospective participants at www.cleantechsandiego.org.
- Write a *SD-REIC Program Application Portal Summary Document* explaining how to use the system.
- Give the CAM Online Access to the *SD-REIC Program Application Portal*.
- Develop *Standardized Marketing and Outreach Plan*, including a clear strategy and marketing materials for use in recruitment events among project partners.
- Develop online marketing collateral, which will include, but not be limited to, email blasts to project partners to market the program and web based flyers promoting the program and soliciting participation from entrepreneurs as well as mentors, etc. for www.cleantechsandiego.org and project partner websites.
- Execute *Standardized Marketing and Outreach Plan*, via dedicated outreach events and partner activities.
- Monitor success of recruitment efforts through collection and analysis of outreach data. Data shall include the responses received from marketing efforts (entrepreneurs express interest in the program as a result or sign up for the program), the number of people

Exhibit A Scope of Work

reached with the outreach efforts, and an analysis of web traffic (through such tools as google analytics and mail chimp)..

- Incorporate outreach data results into a *Bi-annual Marketing/Outreach Evaluation Report* that will be reviewed by the TAC.
- Update *Standardized Marketing and Outreach Plan* as needed based on input from the TAC.

Products:

- *Applicant Screening Protocol Criteria Document* (draft and final)
- *SD-REIC Program Application Portal* Summary Document (draft and final)
- Online Access for CAM to SD-REIC Program Application Portal
- *Standardized Marketing and Outreach Plan* (draft and final)
- *Bi-annual Marketing/Outreach Evaluation Report* (draft and final)

TASK 4: DEVELOP AND DELIVER CUSTOMIZED SERVICE PLANS

The goal of this task is to create Cluster Service Plans for selected applicants that will lead to technology commercialization. Applicants will be screened and interviewed and selected as SD-REIC Program participants. A comprehensive service plan will be developed and delivered for participants.

The Recipient Shall:

- Review and screen applications on a rolling basis throughout the funding period based on the *Applicant Screening Protocol Criteria Document* developed in Task 3.
- Develop an *Interview Guide Questionnaire* to interview applicants.
- Interview qualified applicants to further assess program readiness on a quarterly basis using the *Interview Guide Questionnaire*.
- Select applicants on a quarterly basis for SD-REIC enrollment upon CAM approval.
- Update applicant/participant database as necessary.
- Assess individual participant needs and identify barriers to technology commercialization.
- Develop customized *Cluster Service Plan* for participants that include:
 - Resources, facilities (including testing and proof of concept), and services to be provided to the participant.
 - Assigned personnel from Cluster partners to facilitate services.
 - Schedule indicating timeline for delivery of services.
 - Progress milestones and evaluation metrics.
 - Post-graduation plan for continued advancement towards market adoption.
- Execute Cluster Service Plan for program participants.
- Monitor execution of plans and modify as needed.
- Prepare a *CPR Report* and participate in a CPR meeting per subtask 1.3.

Products:

- *Interview Guide Questionnaire*
- *Cluster Service Plan* (draft and final)
- CPR Report

Exhibit A Scope of Work

TASK 5: REPORT ACTIVITIES, PERFORMANCE DATA, AND LESSONS LEARNED

The goal of this task is to collect and analyze performance data and report on participant and SD-REIC program results. This will determine if participants should continue to receive Cluster services. SD-REIC program results will be shared with key stakeholders, other Regional Energy Innovation Clusters, and the general public.

The Recipient Shall:

- Regularly monitor and evaluate Cluster participant progress based on *Cluster Service Plan*.
- Analyze participant progress and milestones and submit an *Annual Status Report* to include at minimum the following for each entrepreneur:
 - Name, location, and organization.
 - Customized Cluster Services Plan.
 - Description of the innovation and how it will benefit electric ratepayers in SDG&E and SCE territories and lead to technological advancement or breakthroughs to overcome barriers to achieving the state's statutory energy goals.
 - Description of the Cluster services provided.
 - Technical and commercialization milestones achieved.
 - For companies the Cluster has stopped providing services to, an explanation for the decision.
- Collect and analyze data on program metrics including:
 - Performance data items for which there will be direct costs under the contract between the Energy Commission and the recipient and the contracts between the recipient and its subcontractors associated with services provided.
 - Performance indicators that mark significant commercialization milestone accomplishments.
 - Economic data from companies resulting from any one or combination of services provided to program participants.
 - Other program metrics as directed by the CAM.
- Report program metrics in *Quarterly Progress Reports on Program Metrics* outlining results, challenges, and resolutions.
- Use program and participant evaluations to establish best practices.
- Host Annual Forum to showcase project highlights, share best practices, and lessons learned with stakeholders and the public.
- Provide CAM a copy of *Annual Forum Agenda*.
- Publish digital *Annual Stakeholder Report* for key decision-makers and general public on www.cleantechsandiego.org, to include, but not be limited to the following items for each SD-REIC participant:
 - Name, location and organization
 - Description of the innovation and how it will benefit electric ratepayers in California IOU service territories and lead to technological advancement or breakthroughs to overcome barriers to achieving the state's statutory energy goals.
 - Description of the cluster services provided
 - Technical and commercialization milestones achieved.
 - For companies the Cluster has stopped providing services to, an explanation for the decision.
- Prepare a *CPR Report* and participate in a CPR meeting per subtask 1.3.

Exhibit A Scope of Work

Products:

- Annual Status Report
- Quarterly Progress Reports on Program Metrics
- Annual Forum Agenda
- Annual Stakeholder Report
- CPR Report

TASK 6: CLUSTER PROGRAM CONTINUATION

The goals of this task are to enhance and sustain Cluster partner collaborations both during and after the EPIC funding term.

The Recipient Shall:

- Bi-annually meet with its subcontractors to evaluate the status and effectiveness of Cluster program and services, and make adjustments as necessary. CAM may choose to participate in these meetings.
- Bi-annually identify opportunities for additional collaborations outside of existing Cluster partners.
- Develop a *SD-REIC Continuation Plan* for continuing Cluster collaborations after the term of the EPIC award.

Product:

- SD-REIC Continuation Plan (draft and final)

TASK 7: SEED, ACCELERATOR AND INCUBATOR MATCH-MAKING

The goal of this task is to serve as an outreach and development mechanism for regional innovator and startup applicants to the California Sustainable Energy Entrepreneur Development Initiative (SEED) Series A and Series B funding program as well as to the Los Angeles, Central Valley, and Bay Area Regional Clusters and other appropriate incubators and accelerators in California.

The Recipient Shall:

- Develop a *Referral Process Document* on the SD-REIC Program Application Portal to manage referral of innovation companies in the San Diego Cluster region to other Regional Clusters, the California SEED, energy accelerator, and other California incubation and acceleration programs.
- Appoint a representative from the San Diego Regional Energy Cluster to serve on the Technical Advisory Committee for the SEED Initiative (SEED-TAC), which provides “Series A and Series B” grant funding to energy entrepreneurs and researchers to establish the feasibility of their promising energy technology concepts. SEED-TAC is expected to meet up to four times per year.
- Prepare and submit to the CAM after each SEED-TAC meeting a *SEED-TAC Progress Report*.

Product:

- Referral Process Document
- SEED-TAC Progress 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.

Exhibit A Scope of Work

- 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.
 - The number of website downloads.
 - An estimate of how the project information has affected energy use and cost, or have 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
- 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.

Exhibit A Scope of Work

- 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(s) on the project.
- When directed by the CAM, participate in annual EPIC symposium(s) sponsored by the California Energy Commission.
- Provide at least (6) six *High Quality Digital Photographs* (minimum resolution of 1300x500 pixels in landscape ratio) of pre and post technology installation at the project sites or related project photographs.
- 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)
- High Quality Digital Photographs
- Technology/Knowledge Transfer Plan (draft and final)
- Technology/Knowledge Transfer Report (draft and final)

V. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: CLEANTECH SAN DIEGO ASSOCIATION

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

RESOLVED, that the Energy Commission approves Agreement EPC-15-030 from GFO-15-306 with Cleantech San Diego Association for a \$5,000,000 grant to enhance, expand and coordinate entrepreneurial assistance services and resources available to clean energy entrepreneurs and researchers in San Diego, Imperial, Riverside, and San Bernardino counties. In addition, this project will work with businesses, local jurisdictions, and other organizations in the region to determine region-specific needs and connect new energy innovations to those needs; 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 April 13, 2016.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Cody Goldthrite,
Secretariat