

GRANT REQUEST FORM (GRF)

CEC-270 (Revised 10/2015)

CALIFORNIA ENERGY COMMISSION

New Agreement EPC-15-080 (To be completed by CGL Office)

Division	Agreement Manager:	MS-	Phone
ERDD	Sonya Ziaja	43	916-327-3424

Recipient's Legal Name	Federal ID Number
Thalassa Research & Consulting, LLC	52-1876879

Title of Project
Interdependencies of Electric Grid and Critical Lifelines: Identifying Climate Exposure and Adaptation Strategies

Term and Amount	Start Date	End Date	Amount
	6/1/2016	1/17/2018	\$ 128,188

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

Proposed Business Meeting Date	5/17/2016	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Sonya Ziaja	Time Needed:	5 minutes

Please select one list serve. EPIC (Electric Program Investment Charge)

Agenda Item Subject and Description

THALASSA RESEARCH & CONSULTING, LLC. Proposed resolution approving agreement GFO-15-309-28 with Thalassa Research & Consulting, LLC for a \$128,188 grant to apply a framework for assessing the long-distance climate change impacts and linkages that can disrupt electricity services and cause cascading effects on critical infrastructure in the Los Angeles region. The results will be integrated into local climate vulnerability assessments and adaptation planning.

California Environmental Quality Act (CEQA) Compliance

1. 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 it is a paper study, involving interviews and qualitative research.
2. 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: _____
 Common Sense Exemption. 14 CCR 15061 (b) (3)
 Explain reason why Agreement is exempt under the above section: _____
- b) Agreement **IS NOT** exempt. (Consult with the legal office to determine next steps.)
 Check all that apply
 Initial Study Environmental Impact Report
 Negative Declaration Statement of Overriding Considerations
 Mitigated Negative Declaration

List all subcontractors (major and minor) and equipment vendors: (attach additional sheets as necessary)

Legal Company Name:	Budget
Susanne Moser Research and Consulting	\$ 52,840
	\$

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

Legal Company Name:

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Budget Information			
Funding Source	Funding Year of Appropriation	Budget List No.	Amount
EPIC	14-15	301.001B	\$128,188
			\$
			\$
R&D Program Area: EGRO: EA		TOTAL:	\$128,188
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

Recipient's Administrator/ Officer				Recipient's Project Manager			
Name:	Juliette Hart			Name:	Juliette Hart		
Address:	1140 Highland Ave Ste 206			Address:	1140 Highland Ave Ste 206		
City, State, Zip:	Manhattan Beach, CA 90266-5325			City, State, Zip:	Manhattan Beach, CA 90266-5325		
Phone:	424-241-2457 /	Fax:	- -	Phone:	424-241-2457 /	Fax:	- -
E-Mail:	juliette@thalassaresearch.com			E-Mail:	juliette@thalassaresearch.com		

Selection Process Used	
<input checked="" type="checkbox"/> Competitive Solicitation	Solicitation #: GFO-15-309
<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

I. TASK ACRONYM/TERM LISTS

A. Task List

Task #	CPR ¹	Task Name
1		General Project Tasks
2	x	Identify and Map the Interdependencies of the Electrical Grid and Critical Lifelines
3		Assess Climate Exposure of Prioritized Lifelines and Identify Preliminary Adaptation Strategies
4		Develop Research Recommendations for Addressing Societal Teleconnections and Climate Impacts Interdependence
5		Evaluation of Project Benefits
6		Technology/Knowledge Transfer Activities

B. Acronym/Term List

Acronym/Term	Meaning
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CPR	Critical Project Review
ES	Expert Stakeholder
LA	Los Angeles
SOCIETAL TELECONNECTIONS	Human-created linkages that link activities, trends, and disruptions across large distances, such that locations spatially separated from the locus of an event can experience a variety of impacts from it nevertheless.
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 project that will assess the teleconnected current and future climate vulnerabilities of the electrical grid and critical lifelines in the LA basin.

B. Problem/ Solution Statement

Problem

Climate change impacts in California are expected to lead to an increase in extreme heat days, shifts in precipitation, and increased coastal flooding from coastal storms and sea-level rise; many communities are now actively preparing for these locally-occurring impacts through climate adaptation planning. Yet, communities are also vulnerable to impacts that originate from afar –

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.

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also known as “societal teleconnections.”² The electrical grid and the critical lifelines dependent on grid reliability are vulnerable to these impacts and this vulnerability is not currently accounted for in climate adaptation planning.

Solution

Building on the energy sector’s grid reliability studies already underway, this project aims to use an existing systematic framework for assessing the long-distance linkages, or teleconnections that can disrupt electricity services and cause ripple or cascading effects on critical infrastructures in the Greater Los Angeles region. This proposed project will serve as a pilot study in how to integrate consideration of teleconnected phenomena in California impacts assessment and adaptation planning.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

1. Test the utility of conceptual teleconnections framework as a tool to assess vulnerabilities to remote climatic events and to assist lifeline managers in preparing for climate change;
2. Identify research needs and action barriers;
3. Help other metropolitan areas and communities in California conduct similar analyses and extend their adaptation planning efforts. The project will produce a prioritized list of critical lifelines and a conceptual map or typology of their interdependencies and relevant teleconnections; an assessment of teleconnected current and future climate vulnerabilities of critical lifelines and the electrical grid in the LA basin; and a final project report on LA basin cross-sectoral, teleconnected climate vulnerabilities, with a list of research needs and recommendations for near-term actions (e.g., adaptation planning guidance from the State to local communities and to public and private-sector utilities) that would help address the critical blindspot of societal teleconnections in local adaptation planning.

Ratepayer Benefits.³ This Agreement will result in the ratepayer benefit of greater electricity reliability and increased safety by identifying the cascading impacts of vulnerabilities to electrical grid reliability. Adequately planning for these teleconnected and cascading impacts will lead to increased safety of California citizens. Deliberate planning for potential future climate change impacts can be expected to lower damages and costs to utilities and other public infrastructure and service providers.

² The term “teleconnection” here is intended to have the same meaning as established in social science literature on vulnerability to environmental change, for example in Eakin, Winkels and Sendzimir’s 2009 article on “Nested vulnerability: exploring cross-scale linkages and vulnerability teleconnection in Mexican and Vietnamese coffee systems” in volume 12.4 of Environmental Science and Policy, and Moser and Finzi Hart’s 2015 article “The long arm of climate change: societal teleconnections and the future of climate change impacts studies” published in volume 129.1 of Climatic Change.

³ 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).

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Technological Advancement and Breakthroughs:⁴ This Agreement will lead to technological advancement and breakthroughs to overcome barriers to the achievement of the State of California's statutory energy goals by addressing an emerging field of social science in the state's largest metropolitan area – the study of “societal teleconnections.” Societal teleconnections – analogous to physical teleconnections such as El Niño – are human-created linkages that link activities, trends, and disruptions across large distances, such that locations spatially separated from the locus of an event can experience a variety of impacts from it nevertheless.

The study of societal teleconnections is relatively new in social sciences and most studies to date have been theoretical. This proposed project is therefore innovative and ground-breaking and will help communities incorporate climate impacts that are non-local in origin into their traditional climate adaptation planning.

Agreement Objectives

The objectives of this Agreement are to:

1. Produce a prioritized list of critical lifelines and a conceptual map or typology of their interdependencies and relevant teleconnections;
2. Provide an assessment of teleconnected current and future climate vulnerabilities of critical lifelines and the electrical grid in the LA basin;
3. Prepare a final project report on LA basin cross-sectoral, teleconnected climate vulnerabilities, with a list of research needs and recommendations for near-term actions (e.g., adaptation planning guidance from the State to local communities and to public and private-sector utilities) that would help address the critical blindspot of societal teleconnections in local adaptation planning.

⁴ 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.

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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

- 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:

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- 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 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

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- 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.

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.

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- 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.

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.

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- 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.
- 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

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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

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.

Products:

- Final Report (draft and final)

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

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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:

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- 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.

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.

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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

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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 IDENTIFY AND MAP THE INTERDEPENDENCIES THE ELECTRICAL GRID AND CRITICAL LIFELINES

The goal of this task is to identify and map the interdependencies of the City of LA electrical grid and critical lifelines through guidance and input from the Expert Stakeholder Team and other key stakeholders

The Recipient shall:

- Create a *Critical Lifelines Priorities Report* that includes, at minimum, a conceptual map or typology of interdependencies and teleconnections as well as a list of critical lifelines, determined by the following:
 - Build on existing relationships developed through the AdaptLA Coastal Impacts Planning project and other LA region-based research and adaptation planning efforts to convene a team of expert stakeholders who will serve at once as the project's immediate "customers" and, later, as advisors and guides to the proposed project's activities.
 - This Expert Stakeholder (ES) team will be comprised of approximately 10 individuals mostly from within the City and County of LA responsible for managing various lifelines that are critical to maintaining local functioning during both acute weather events. The membership of the ES will be determined by the recipient after review of who manages critical infrastructure in the LA region, and after consultation with the CAM.
 - Develop a semi-structured interview protocol:
 - The interview protocol will be based on the Moser and Hart (2015) societal teleconnections framework to identify teleconnection pathways for the lifelines under interviewees' control.⁵
 - Interview each ES team member and additional experts to explore the importance of tele- and interconnections pertaining to lifeline management.
 - Conducting 15 interviews, using a semi-structured interview protocol (developed in Task 2) to allow for both systematic and open-ended exploration of the topic.⁶

⁵ We recognize that there are national security (and privacy) issues involved in geographically "mapping" teleconnections. Thus, the term "mapping" is used here not in the sense of reproducing existing maps of critical infrastructure, but to identify types of teleconnections and cascades of interconnections that should be carefully assessed and whose climate vulnerabilities managers can plan and prepare for while generating public co-benefits.

⁶ We recognize that there are national security (and privacy) issues involved in geographically "mapping" teleconnections. Thus, the term "mapping" is used here not in the sense of reproducing existing maps of critical infrastructure, but to identify types of teleconnections and cascades of interconnections that should be carefully assessed and whose climate vulnerabilities managers can plan and prepare for while generating public co-benefits.

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- Hold a workshop with the ES team and additional stakeholders--recommended by the TAC and/or CAM—to review findings from the stakeholder interviews and refine and complete the collective understanding of lifeline inter- and tele-connections.
 - Focusing on electrical supply and power, participants will prioritize a subset of lifeline teleconnections that are most critical to maintaining community function during acute events and the increased stresses placed on lifeline systems as a result of chronic changes.
- Participate in in CRP Meeting as described in Task 1.3 and prepare a *CPR Report*

Products:

- Critical Lifelines Priorities Report
- CPR Report

TASK 3 ASSESS CLIMATE EXPOSURE OF PRIORITIZED LIFELINES AND IDENTIFY PRELIMINARY ADAPTATION STRATEGIES

The goals of this task are to: assess the climate exposure of prioritized lifelines; work with ES team and key stakeholders to discuss cross-sectoral vulnerabilities; and identify preliminary cross-sectoral adaptation strategies.

The Recipient shall:

- Produce *Assessment Report of Teleconnected Climate Vulnerabilities*, which at minimum, provides an assessment of teleconnected and interconnected current and future climate vulnerabilities of critical lifelines and the electrical grid. This should be based off of the following:
 - Utilize publicly-available scientific information (e.g. information available through Cal-Adapt, CoSMoS, national and global climate projections and assessments), and develop a high-level teleconnections exposure assessment of the prioritized lifelines. This will entail following each teleconnection pathway and providing preliminary descriptions of their current and projected climate exposure along the pathway.
 - Develop a matrix of the full suite of current and projected exposure for the LA region for all prioritized lifelines.
 - Present the initial findings of the climate exposure assessment for the prioritized lifelines. Workshop participants will use this information – in a suite of interactive exercises – to: 1) deepen the exploration of lifeline exposure and assess potential impacts along the teleconnection pathways; 2) assess lifeline system sensitivities and adaptive capacity along the pathway to get a fuller understanding of vulnerability; 3) identify management strategies already in place to address current exposure and vulnerabilities; and, 4) identify possible additional management strategies that are adaptive in the face of change and capable of addressing additional projected vulnerabilities due to teleconnections. Given local budget constraints, many of these measures should be robust and provide ongoing co-benefits.

Products:

- Assessment Report of Teleconnected Climate Vulnerabilities

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TASK 4 DEVELOP RESEARCH RECOMMENDATIONS FOR ADDRESSING SOCIETAL TELECONNECTIONS AND CLIMATE IMPACTS INTERDEPENDENCE

The goal of this task is to work with the ES team and key stakeholders to identify research and information needs that will help communities assess their teleconnected and interdependent climate vulnerabilities, for subsequent inclusion in climate adaptation plans.

The Recipient shall:

- Produce *LA Basin Cross-Sectoral, Teleconnected Vulnerabilities Report* that includes a list of research needs and barriers for conducting teleconnection planning and is informed, at minimum, by the following:
 - Utilizing information gleaned from the study process, workshops, and interviews, the Recipient will identify and categorize a list of research needs and other barriers to action faced by communities in assessing their teleconnected vulnerabilities and addressing them through adaptation planning (e.g., using the framework developed in Moser and Ekstrom 2010).
- Reconvene the ES team by teleconference and present to them the following: (1) the list of barriers identified, and (2) the research and action recommendations to the CAM.

Products:

- LA Basin Cross-Sectoral, Teleconnected Vulnerabilities Report

TASK 5 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.

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- 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.
 - 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

TASK 6 TECHNOLOGY/KNOWLEDGE TRANSFER ACTIVITIES

The goal of this task is to develop a plan to make the knowledge gained, experimental results,

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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.
- 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 7 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

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- 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)

V. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: THALASSA RESEARCH & CONSULTING, LLC

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-15-080 from GFO-15-309 with Thalassa Research & Consulting, LLC for a \$128,188 grant to apply a framework for assessing the long-distance climate change impacts and linkages that can disrupt electricity services and cause cascading effects on critical infrastructure in the Los Angeles region. The results will be integrated into local climate vulnerability assessments and adaptation planning; 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 17, 2016.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Cody Goldthrite,
Secretariat