New Agreement EPC-16-015 (To be completed by CGL Office)

Division	Agreement Manager:	MS-	Phone
ERDD	Nicholas Blair	51	916-445-5377

Recipient's Legal Name	Federal ID Number
Los Angeles Cleantech Incubator	45-4998717

Title of Project
Los Angeles Regional Energy Innovation Cluster

Term and Amount	Start Date	End Date	Amount
	8/17/2016	3/31/2022	$ 4,999,247

Business Meeting Information

☐ ARFVTP agreements under $75K delegated to Executive Director.

Proposed Business Meeting Date	8/10/2016	☒ Consent	☐ Discussion
Business Meeting Presenter	Diana Gonzalez	Time Needed:	5 minutes

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

Agenda Item Subject and Description

LOS ANGELES CLEANTECH INCUBATOR. Proposed resolution approving agreement EPC-16-015 with Los Angeles Cleantech Incubator for a $4,999,247.00 grant to establish a Los Angeles Regional Energy Innovation Cluster to act as a local hub of clean energy entrepreneurship, and give promising clean energy entrepreneurs direct access to the region's top technical, business, and commercialization clean energy support services. This project will assess and address the region's energy needs, target the most impactful clean energy technologies and facilitate the downstream market adoption of new clean energy technologies.

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

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: Cal. Code Regs., tit 14, § 15301
   - ☐ Common Sense Exemption. 14 CCR 15061 (b) (3)

   Explain reason why Agreement is exempt under the above section:
   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.

   ☐ b) Agreement **IS NOT** exempt. (Consult with the legal office to determine next steps.)
   Check all that apply
   - ☐ Initial Study
   - ☐ Negative Declaration
   - ☐ Mitigated Negative Declaration
   - ☐ Environmental Impact Report
   - ☐ Statement of Overriding Considerations

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

Legal Company Name:	Budget
Cleantech Orange County	$ 900,000
Trustees of the California State University - Pomona	$ 25,500
CSU Dominguez Hills	$ 25,500
California State University, Long Beach Foundation	$ 25,500
CSU Los Angeles	$ 25,500
The University Corporation, California State University, Northridge	$ 25,500
CSU Channel Islands	$ 99,000
LA Business Technology Center	$ 99,000
The Cleantech Open	$ 99,000

STATE OF CALIFORNIA
GRANT REQUEST FORM (GRF)
CEC-270 (Revised 10/2015) CALIFORNIA ENERGY COMMISSION

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	16-17	301.001D	$4,999,247
			$
			$
			$
			$
			$
R&D Program Area: EDMFO: EDMF		TOTAL:	$4,999,247
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

Recipient's Administrator/ Officer		**Recipient's Project Manager**	
Name:	Neal Anderson	Name:	Neal Anderson
Address:	525 S Hewitt St	Address:	525 S Hewitt St
City, State, Zip:	Los Angeles, CA 90013-2217	City, State, Zip:	Los Angeles, CA 90013-2217
Phone:	213-375-8985 / Fax: - -	Phone:	213-375-8985 / Fax: - -
E-Mail:	neal@laincubator.org	E-Mail:	neal@laincubator.org

Selection Process Used	
☒ Competitive Solicitation	Solicitation #: GFO-15-321
☐ First Come First Served Solicitation	

The following items should be attached to this GRF		
1. Exhibit A, Scope of Work		☒ Attached
2. Exhibit B, Budget Detail		☒ Attached
3. CEC 105, Questionnaire for Identifying Conflicts		☒ Attached
4. Recipient Resolution	☒ N/A	☐ Attached
5. CEQA Documentation	☐ N/A	☒ 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	Assessing and Addressing Regional Energy Needs
3		Los Angeles Regional Energy Innovation Cluster Outreach, Education, and Intake
4		Support and Accelerate Clean Energy Los Angeles Regional Energy Innovation Cluster Members
5		Develop and Grow Funding Stream to Support Los Angeles Regional Energy Innovation Cluster
6		SEED, Accelerator and Incubator Match-Making
7		Evaluation of Project Benefits
8		Technology/Knowledge Transfer Activities

B. Acronym/Term List

Acronym/Term	Meaning
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
Energy Commission	California Energy Commission
CPR	Critical Project Review
Cluster Navigator	Project team members that will vet, select, track, and provide coaching and case management services to LA REIC Members.
EPIC	Electric Program Investment Charge
GHG	Greenhouse Gas
IOU	Investor Owned Utility
LACI	Los Angeles Cleantech Incubator
LA REIC	Los Angeles Regional Energy Innovation Cluster
SEED	Sustainable Energy Entrepreneur Development
SEED-TAC	Sustainable Energy Entrepreneur Development Technical Advisory Committee
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 establish a Los Angeles Regional Energy Innovation Cluster (LA REIC), which will manage regional energy cluster activities, including: (1) regional energy needs assessments and (2) supporting and accelerating clean energy entrepreneurship

[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.

and research to the benefit of investor owned utility (IOU) ratepayers. LA REIC will 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 IOU electric ratepayers.

B. Problem/ Solution Statement

Problem

Research and commercialization of clean energy technologies is a very costly and lengthy process. The clean energy marketplace is growing, with highly localized and rapidly changing techno-economic dynamics, in addition to recent major local, state, and national legislative and policy shifts.

Additionally, clean energy entrepreneurs face unique business and technical barriers to commercialization, ranging from a limited understanding of their target customers' needs to laboratory or pilot facility access. Navigating the complex clean energy ecosystem can be daunting for clean energy entrepreneurs and occasionally impossible. Although there is significant clean energy technology discovery in the Los Angeles region, the region's clean energy entrepreneurs struggle to bring their technologies to market and no coordinating agency is present to educate, engage, connect, and support clean energy entrepreneurs.

Solution

This recipient, the Los Angeles Cleantech Incubator, with this project, will use the cluster-driven economic development approach to accelerate innovation, job creation, and time-to-market for new products.

In order to build the Los Angeles region's clean energy cluster infrastructure, the project team will create the LA REIC by bringing together the region's key clean energy stakeholders across four counties, (Los Angeles, Orange, Santa Barbara, and Ventura). The LA REIC will work with Los Angeles Cleantech Incubator (hereafter referred to as "LACI" or "Recipient"), with LACI acting as the central coordinating organization, to research and document the region's energy needs, and develop an outreach and commercialization support program for clean energy entrepreneurs.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to support and accelerate:

- Entrepreneurs' access to resources to help commercialize their new clean energy innovations products.
- The Los Angeles region's fulfillment of California's statutory energy goals.
- The development and commercialization of clean energy technologies – through targeted clean energy entrepreneurship support – that can overcome the region's barriers to achieving the state's statutory energy goals.

Ratepayer Benefits:[2] This Agreement will result in the ratepayer benefits of lower costs and increased reliability by accelerating the time to market of new clean energy technologies. The

[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

project plans to attain these outcomes by supporting successful development and commercialization of clean energy technologies leading to: lowered customer energy usage intensity, increased electricity grid reliability, and grid safety by reducing the electricity demand stresses on the system at a given economic output; and a healthier environment by mitigating climate impacts through greenhouse gas (GHG) emission reductions.

Based on the estimated technology focus areas, market sizes, anticipated energy savings, and market adoption rates, the Recipient anticipates the potential project benefits to IOU ratepayers will be 165 – 1,409 GWh savings; 46,831 – 398,663 million metric tons of avoided GHG emissions; and $254M – $2,191M in savings.

Technological Advancement and Breakthroughs:[3] This Agreement will lead to technological advancement and breakthroughs to overcome barriers to the achievement of the State of California's statutory energy goals helping clean energy entrepreneurs overcome the business and technical barriers to commercializing their new clean energy technologies. In addition, the clean energy technologies supported by the LA REIC will be selected based on the regional energy market needs. Finally, the LA REIC will engage a diverse group of clean energy stakeholders to provide the support, networks and resources for accelerated clean energy commercialization.

Agreement Objectives

The objectives of this Agreement are to:

- Provide regular regional energy analysis and report findings with key stakeholders.
- Connect regional clean energy stakeholders in order to drive recruitment and participation in the LA REIC.
- Create a coordinated regional technical and commercialization services assessment, referral, and tracking system that monitors the commercial progress and ratepayer benefits of LA REIC members.
- Prioritize the region's clean energy technology areas of focus based on the regional energy needs assessment.

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.

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

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:

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 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 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.

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:
    - o 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.
- 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 (**required**)
    - Credits page on the reverse side of cover with legal disclaimer (**required**)
    - Acknowledgements page (optional)
    - Preface (**required**)
    - Abstract, keywords, and citation page (**required**)
    - Table of Contents (**required**, followed by List of Figures and List of Tables, if needed)
    - Executive summary (**required**)
    - Body of the report (**required**)
    - References (if applicable)
    - Glossary/Acronyms (If more than 10 acronyms or abbreviations are used, it is required.)
    - 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.

The Recipient shall:

- Prepare a *Match Funds Status Letter* that documents the match funds committed to this Agreement.

  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.

  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:
  - 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.

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

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: ASSESSING AND ADDRESSING REGIONAL ENERGY NEEDS
The goal of this task is to assess and address the region's energy needs, particularly in electricity IOU territory in the Los Angeles region.

Subtask 2.1 Assess Regional Energy and Greenhouse Gas Profile
The goal of this task is to assess and track regional energy intensity, GHG emissions intensity, and community vulnerability.

The Recipient shall:
- Develop a regional energy and GHG profile analysis using energy consumer data from the four counties in the LA region. (Los Angeles, Orange, Santa Barbara, and Ventura).
- Submit *Regional Energy Intensity, GHG Emissions Intensity and Community Vulnerability Reports (#1, #2, and #3),* which would:
  - o Rely on the available consumer utility data to map the regional energy intensity, GHG emissions and community vulnerability area by zip code.
  - o Evaluate the changes made since submission of previous versions of the product (for #2 and #3).

Products:
- Regional Energy Intensity, GHG Emissions Intensity and Community Vulnerability Reports (#1, #2, and #3)

Subtask 2.2 Clean Energy Regional Assets Inventory Survey
The goal of this task is to regularly inventory the programs, resources, and facilities available to clean energy researchers and entrepreneurs in each county.

The Recipient shall:
- Submit *County-Level Asset Inventory Surveys for Clean Energy Entrepreneurs Reports (#1, #2, and #3),* which will include details on business and technical clean energy entrepreneur resources. It will also identify any regional organizations that offer clean energy entrepreneurs access to leading technical expertise.
  - o Collaborate with grant project partners in all four counties to catalog and document all programs, facilities, and resources available to clean energy entrepreneurs and researchers.
  - o Identify additional contributors to clean energy innovation in each county (eg. start-up businesses, community organizations).
  - o Oversee cluster navigators, who will conduct community outreach and networking to identify new assets and programs for LA REIC member companies.
  - o Evaluate the changes made since submission of previous versions of the product (for #2 and #3).

- Prepare a *CPR Report* and participate in a CPR meeting in accordance with subtask 1.3 (CPR Meetings).

Products:
- County-Level Asset Inventory Survey for Clean Energy Entrepreneurs Report (#1, #2, and #3)
- CPR Report

Subtask 2.3 Assess Community-Level Energy Needs
Assess the community-level energy needs, with a priority on areas with high energy intensity, GHG emissions, and disadvantaged communities.

The Recipient shall:

- Prepare a *Regional Community-Level Energy Needs and Engagement Survey* (#1, #2, and #3) based on participant surveys of the following stakeholders:
    - Building owners
    - Public agencies
    - Equipment suppliers
    - Cleantech contractors/businesses
    - IOUs
    - Financial Institutions
    - Other stakeholders as identified and beneficial
- Prepare *Regional Emerging Legislative and Regulatory Developments and Key Trends Report* (#1, #2, and #3) which will*:*
    - Assess legislative and regulatory support needed to meet regional energy and climate goals
    - Evaluate the changes made since submission of previous versions of the product (for #2 and #3).

- Use GIS analysis and other sources to identify locations of disadvantaged communities in IOU territory as defined by CalEnviroScreen. The recipient will then develop a Disadvantaged Communities database describing these communities in as much detail as possible based on GIS analysis and available data. This will be the basis for the *Baseline Disadvantaged Community Report (#1, #2, and #3).*
- Prepare a more detailed audit of targeted disadvantaged communities (based on the corresponding Baseline Disadvantaged Community Report and community engagement) of the communities' energy needs. Capture these audits and community engagement activities in a periodic *Disadvantaged Community Update Report (#1, #2, and #3), and* evaluate the changes made since submission of previous versions of the product (for #2 and #3).
-

Products:

- Regional Community-Level Energy Needs and Engagement Survey (#1, #2, and #3)
- Regional Emerging Legislative and Regulatory Developments and Key Trends Report (#1, #2, and #3) (Draft and Final)
- Baseline Disadvantaged Community Report
- Disadvantaged Community Update Report (#1, #2, and #3)

Subtask 2.4 Aggregate and Analyze Regional Assets, Research, and Surveys
The goal of this task is to produce regional energy needs reports that aggregate the region's research, surveys, and inventories to guide the project and maximize entrepreneurs' impact in the Los Angeles region.

The Recipient shall:

- Use products prepared in Subtask 2.1 – Subtask 2.3 to aggregate and assess the region's energy needs.

- Identify and set regional energy focus priorities on high energy-intensity communities, high GHG emissions communities, and disadvantaged communities as determined by the regional research.
- Submit *Regional Energy Needs Reports (#1 and #2)* to be shared with regional stakeholders that aggregates and assesses the region's energy needs based on findings in Subtask 2.1 – Subtask 2.3.
    - o Evaluate the changes made since submission of previous versions of the product (for #2).

Products:

- Regional Energy Needs Report (#1 and #2) (Draft and Final)

Subtask 2.5 Annual Forum to Share Best Practices, Lessons Learned, and Los Angeles Regional Energy Innovation Cluster Results

The goal of this task is to host an annual forum to share knowledge and lessons learned with key stakeholders and the public.

The Recipient shall:

- Select a date and location for the annual forum, to be held at least four times, in collaboration with the CAM.
- Submit *Annual Forum Event Agenda,* which outlines the event's agenda, a month before the event.
- Invite key stakeholders to attend and network at the Annual Forum, especially government officials looking for clean energy solutions for their communities and clean energy entrepreneurs looking to commercialize their products or enter new markets, and submit an *Invitation List* for each Annual Forum.
- Submit *Annual Forum Event Presentation Slides.*
- Submit *Annual Forum Event Report,* which describes the activities, the key learnings and key takeaways of the event, after each annual forum.

Products:

- Annual Forum Event Agenda (Draft and Final)
- Invitation List (Draft and Final)
- Attendee List
- Annual Forum Event Presentation Slides
- Annual Forum Event Report

TASK 3: LOS ANGELES REGIONAL ENERGY INNOVATION CLUSTER OUTREACH, EDUCATION, AND INTAKE

The goal of this task is to educate, communicate with, and recruit potential LA REIC member companies.

Subtask 3.1 Community Outreach

The goals of this task are to: (1) identify the members of the region's clean energy community; (2) develop and administer an outreach and engagement strategy; and (3) encourage applications to the LA REIC for services.

The Recipient shall:

- Oversee the outreach efforts, which shall be updated as needed, via its match partners and subcontractor organizations at universities, research institutions, community colleges, regional incubators and accelerators, entrepreneur programs, technology transfer offices, and clean energy networking organizations
- Develop a *Cluster Navigator Job Description* to detail the role and responsibilities for Cluster Navigators in LA REIC.
- Ensure each grant match partner and subcontractor organization updates its contact database as Cluster Navigators uncover new clean energy community stakeholders. For privacy and legal reasons, each organization will maintain its own contact database.
- Submit a *Clean Energy Community Stakeholder Matrix Template*, which will identify and describe the clean energy community's key stakeholders, and be updated as needed. By using this product, the LA REIC will ensure it understands and is reaching all key regional clean energy stakeholders.
- Submit a *Clean Energy Community Stakeholder Engagement Plan*, which shall be updated as needed, based on the types of stakeholders uncovered by Cluster Navigators through their outreach efforts. This document will drive the marketing and communication engagement strategy for each type of clean energy stakeholder in the region.
- Oversee the cross-promotion and distribution of information about LA REIC activities and programs, based on the strategies and recommendations in the Clean Energy Community Stakeholder Engagement Plan.

Products:
- Cluster Navigator Job Description
- Clean Energy Community Stakeholder Matrix Template
- Clean Energy Community Stakeholder Engagement Plan

Subtask 3.2 Los Angeles Regional Energy Innovation Cluster Events
The goal of this task is to create an events strategy for the clean energy community that addresses the varying needs and interests of clean energy stakeholders in the region

The Recipient shall:
- Collaborate with grant subcontractor organizations to develop a robust and comprehensive list of events that address the diverse needs of the clean energy community, including but not limited to geographic representation, accommodating the varying needs of clean energy stakeholders, and providing a range of formal and informal networking and collaboration opportunities.
- Submit a *Clean Energy Community Events Matrix*, which shall be updated as needed, that aligns clean energy stakeholders' needs, from all four counties, with the variety of events LA REIC organizations host.
- Completion of a minimum of 10 Innovation LA REIC Workshops, rotating among the five California State Universities. The workshops will (1) connect academic, investor, community members, entrepreneurs, and innovators; (2) showcase emerging technologies in each sub-region; (3) expose entrepreneurs and innovators to the LA REIC resources; and (4) educate innovators and entrepreneurs as to the sources of public and private financing.
- Promote events being held by partner organizations.
- Submit a *Semi-Annual Calendar of Key LA REIC Activities* for LA REIC events held in the past six months.

Products:

- Clean Energy Community Events Matrix
- Semi-Annual Calendar of Key LA REIC Activities

Subtask 3.3 Application Intake Process

The goals of this task are to: (1) confirm the Energy Commission's annual clean energy technology priorities; (2) adapt LA REIC intake process to meet regional energy needs, for all four counties, and the Energy Commission priorities; and (3) launch and maintain a web-based LA REIC membership intake process.

The Recipient shall:

- Create the LA REIC general acceptance criteria for admission into LA REIC based on the technology, commercial and ratepayer benefit potentials of each LA REIC application.
- Meet formally with an Energy Commission representative on an annual basis to confirm the Energy Commission's clean energy technology priority areas.
- Document Electric Program Investment Charge (EPIC) technology priorities in the *Annual Confirmation of EPIC's Technology Focus Areas* and share it with the Advisory Council.
- Work with the Advisory Council to refine the LA REIC basic acceptance criteria by incorporating the EPIC's technology priority areas and the region's energy needs into a final document, the *LA REIC Intake Protocol Template,* which will be updated as needed.
- Create a Web-based LA REIC Intake Form to initiate Clean Energy Community Stakeholders applications. .
- Summarize key LA REIC intake metrics in the *Annual LA REIC Intake Report*, including but not limited to:
    - Number of applicants
    - Type and stage of development of clean energy technology
    - Referral source
    - Commercialization stage

Products:

- Annual Confirmation of EPIC's Technology Focus Areas
- LA REIC Intake Protocol Template
- Web-based LA REIC Intake Form
- Annual LA REIC Intake Report

Subtask 3.4 Develop Brand and Marketing Materials

The goals of this task are to: (1) create the LA REIC marketing materials and (2) set up and maintain the LA REIC website.

The Recipient shall:

- Collaborate with LA REIC partner organizations to develop an *LA REIC Logo* graphic that reflects the LA REIC's goals and brand.
- Collaborate with LA REIC partner organizations to develop the *LA REIC Marketing Materials* to describe the LA REIC program and services.
- Launch and maintain, throughout the agreement, an *LA REIC Website* that will:
    - Describe the LA REIC to regional clean energy stakeholders

- Promote LA REIC activities
- Facilitate LA REIC applications through an online Intake Form
- Promote and archive LA REIC regional planning documents

Products:

- LA REIC Logo
- LA REIC Marketing Materials
- LA REIC Website

TASK 4: SUPPORT AND ACCELERATE CLEAN ENERGY LOS ANGELES REGIONAL ENERGY INNOVATION CLUSTER MEMBERS

The goal of this task is to support and accelerate the commercialization of clean energy technologies.

Subtask 4.1 Selecting, Vetting and Prioritizing Los Angeles Regional Energy Innovation Cluster Members

The goals of this task are to develop an intake protocol for and to screen, select, and prioritize LA REIC applications.

The Recipient shall:

- Create a *LA REIC Screening Process Protocol* and sort through all online Intake Forms to:
    - Screen applications following the Intake Protocol process.
    - Follow up on incomplete applications.
    - Identify the most promising applications and send them to Cluster Navigators for more in-depth vetting.
- Hold monthly LA REIC Selection Meetings, attended by Program Director and Cluster Navigators throughout the agreement.
- Create a *LA REIC Application Rejection Protocol.*

Products:

- LA REIC Screening Process Protocol
- LA REIC Application Rejection Protocol

Subtask 4.2 Initial Los Angeles Regional Energy Innovation Cluster Member Assessments

The goal of this task is to perform and document an initial assessment of all entrepreneurs and researchers confirmed as LA REIC members.

The Recipient shall:

- Assign an individual Cluster Navigator, based on geography, workload, and technical expertise, to each application accepted into the LA REIC.
- Submit an *Initial LA REIC Member Assessment Template*, which will allow the Cluster Navigator to document, among other things, the following at each initial meeting with new members:
    - Date of Acceptance into the LA REIC
    - Basic member information
    - Description of technology and commercial status
    - Projected ratepayer benefits
    - A list of technology and commercial milestones

- A schedule of one-on-one follow-up "check-in" coaching meetings between the member and their Cluster Navigator
- An exit protocol for unsuccessful members.

Products:

- Initial LA REIC Member Assessment Template

Subtask 4.3 Tracking Los Angeles Regional Energy Innovation Cluster Member Progress Towards Milestones and Providing Ratepayer Benefits

The goals of this task are to: (1) track members' milestone progress; (2) determine whether a member should continue receiving services; (3) monitor the Cluster Navigator coaching process; and (4) report regularly on the progress and the business and technical supports provided for LA REIC members.

The Recipient shall:

- Develop a REIC Member Database to maintain files for tracking each LA REIC member admitted to the LA REIC that will:
  - Ensure every new LA REIC member articulates their product's projected benefit to ratepayers before they are accepted into the LA REIC.
  - Target clean energy technologies that address the Energy Commission's clean energy priorities and the Los Angeles region's energy needs.
  - Ensure that each LA REIC member is assigned a Cluster Navigator, who is charged with providing impartial, individualized, and comprehensive oversight of the LA REIC Member's commercial and technical milestone progress.
  - Review the Cluster Navigators' regular progress reports to monitor the quality of the program, ensure LA REIC members' are getting appropriate services, and determine if members should continue to receive services.
  - Track LA REIC members' progress towards achieving their technical and commercial milestones through LA REIC members' self-reporting and during periodic check-in meetings with Cluster Navigators.
  - Document LA REIC members' progress towards providing ratepayer benefits.
- Submit an *Annual LA REIC Member Services Report* that includes, from the LA REIC Member Database, (for each cluster member served to date):
  - LA REIC member company name and location
  - Description of the innovation and its projected benefit to ratepayers
  - Description of LA REIC services provided (past, current and anticipated)
  - List of technical and commercial milestones (including those in progress and those achieved)
  - Current LA REIC membership status and explanation of any members graduated or exited

Products:

- Annual LA REIC Member Services Report

Subtask 4.4 Monitor and Assess Regional Technical and Business Services

The goals of this task are to: (1) track the quality of business and technical referrals for LA REIC members and (2) identify any LA REIC service gaps in the region for clean energy entrepreneurs.

The Recipient shall:

- Refer to the County-Level Asset Inventory for Clean Energy Entrepreneurs (in Subtask 2.2) to create the list of business and technical referral service organizations for LA REIC members.
- Monitor and assess the quality of the business and technical referrals, both grant partners and non-grant partners, for LA REIC members in the *Annual LA REIC Business and Technical Services Report* using:
    - o LA REIC member satisfaction survey – an annual survey to determine members' satisfaction with and improvement suggestions for the LA REIC.
    - o LA REIC partner organization satisfaction survey - an annual survey to determine partner organizations' satisfaction with and improvement suggestions for the LA REIC.
    - o LA REIC members' progress achieving technical and business milestones.
- Share any identified gaps in LA REIC business and technical services with the advisory council for assistance addressing the gaps and as a rationale for forming future funding proposals.

Products:

- Annual LA REIC Business and Technical Services Report

TASK 5: DEVELOP AND GROW FUNDING STREAM TO SUPPORT LOS ANGELES REGIONAL ENERGY INNOVATION CLUSTER

The goal of this task is to for LA REIC companies to identify and apply for non-EPIC funding sources to support the LA REIC beyond this grant period.

The Recipient shall:

- Collaborate with current and future LA REIC partner organizations to develop a long-term funding strategy to support LA REIC activities
- Integrate discussion of fundraising updates and opportunities into LA REIC partner teleconference calls
- Submit an *Annual Funding Report* that includes*:*
    - o A list of submitted applications by LA REIC partner organizations to support the LA REIC's objectives
    - o An annual list of award(s) received by LA REIC partner organizations in support of the region's cluster activities

Products:

- Annual Funding Report

TASK 6: 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.

The Recipient Shall:

- Develop a *Referral Process Document* to manage referral of innovation companies in the Los Angeles Cluster region to other Regional Clusters, the California SEED, Energy Accelerator, and other California Incubation and Acceleration Programs.

- Appoint a representative from the Los Angeles Regional Energy Innovation 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. SEED TAC *Progress Reports* will be required and presented to CAM.

Product:

- Referral Process Document
- SEED TAC Progress Reports

TASK 7: 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:

    - <u>For Product Development Projects and Project Demonstrations:</u>
        - 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.
        - <u>Additional Information for Product Development Projects</u>:
            - 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.

- o 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 8: 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:
    - o 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.
    - o A description of the intended use(s) for and users of the project results.
    - o Published documents, including date, title, and periodical name.
    - o 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(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.

RESOLUTION NO: 16-0810-11

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: LOS ANGELES CLEANTECH INCUBATOR

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-16-015 with Los Angeles Cleantech Incubator for a $4,999,247 grant to establish a Los Angeles Regional Energy Innovation Cluster to act as a local hub of clean energy entrepreneurship, and give promising clean energy entrepreneurs direct access to the region's top technical, business, and commercialization clean energy support services. This project will assess and address the region's energy needs, target the most impactful clean energy technologies and facilitate the downstream market adoption of new clean energy technologies; 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 August 10, 2016.

AYE: [List of Commissioners]
NAY: [List of Commissioners]
ABSENT: [List of Commissioners]
ABSTAIN: [List of Commissioners]

____
Cody Goldthrite,
Secretariat