

GRANT REQUEST FORM (GRF)



New Agreement EPC-17-029

ERDD	David Stoms	43	916-327-2381
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Cal Poly Corporation	95-1648181
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Lowering Costs of Underwater Biological Surveys to Support Offshore Renewable Energy

4/4/2018	1/31/2020	\$ 199,978
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ARFVTP agreements under \$75K delegated to Executive Director.

Proposed Business Meeting Date	3/21/2018	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Katharina Snyder	Time Needed:	5 minutes

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

Agenda Item Subject and Description

CAL POLY CORPORATION. Proposed resolution approving agreement EPC-17-029 with Cal Poly Corporation for a \$199,978 grant to develop innovative cost-effective methods for biological surveys to inform offshore renewable energy development.

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 the work that will be completed in this project will not interact with the physical environment and will take place in the lab and via computer equipment (analysis of existing underwater video imagery).

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
- Negative Declaration
- Mitigated Negative Declaration
- Environmental Impact Report
- Statement of Overriding Considerations

Legal Company Name:	Budget
	\$
	\$
	\$
	\$
	\$

Legal Company Name:

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Budget Information			
Funding Source	Funding Year of Appropriation	Budget List No.	Amount
EPIC	16-17	301.001D	\$199,978
			\$
			\$
			\$
R&D Program Area: EGRO: EA			\$199,978
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

Name:	Amy Velasco	Name:	TBH
Address:	1 Grand Ave 1 Grand ave	Address:	
City, State, Zip:	San Luis Obispo, CA 93410-9001	City, State, Zip:	
Phone:	805-756-1123 /	Fax:	- -
E-Mail:	sponprog@calpoly.edu	E-Mail:	

<input checked="" type="checkbox"/> Competitive Solicitation	Solicitation #: GFO-16-311
<input type="checkbox"/> First Come First Served Solicitation	

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		Select Target Species and Compile Underwater Imagery
3	X	Migrate Human-in-the-Loop Training Interface to Cloud to Accommodate Mobile Workflow
4		Setup and Train Custom Convolutional Neural (Tensorflow) Networks for Target Species
5		Evaluation of Project Benefits
6		Technology/Knowledge Transfer Activities

B. Acronym/Term List

Acronym/Term	Meaning
AI	Artificial Intelligence
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CNN	Convolutional Neural Network
CPR	Critical Project Review
MBARI	Monterey Bay Aquarium Research Institute
TAC	Technical Advisory Committee
VARs	Video Annotation Reference System

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

A. Purpose of Agreement

The purpose of this Agreement is to fund the advancement of techniques that would improve the quality of visual environmental assessment methods with less cost and time as applied to the permitting and regulatory framework of offshore marine renewable energy technologies in California. These techniques involve artificially intelligent object (species) classification capabilities using a combination of tools including: convoluted neural networks, augmented/intelligent annotation software, and cloud applications.

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

EXHIBIT A

Scope of Work

B. Problem/ Solution Statement

Problem

As California explores opportunities to develop offshore renewable energy capacity, there will be a growing need for pre-construction biological surveys and post-construction monitoring in the challenging marine environment. Underwater video is a powerful tool to facilitate such surveys, but the interpretation of the imagery is costly and time-consuming. Emerging technologies have greatly improved automated analysis of underwater video, but these technologies are not yet accurate or accessible enough for widespread adoption in the scientific community or industries that might benefit from these tools. While there have been recent advances in automated image classification techniques, many objects and species require custom and fine-tuned training (e.g., neural network) to provide reliable and high accuracy classification capabilities for environmental baseline and monitoring tasks. Finally, these capabilities have yet to be integrated into human-in-the-loop annotation software, thus limiting the realization of significant efficiency gains and greater levels of meaningful data extraction.

Solution

This agreement will fund a core team of scientists, students, and staff from computer science and marine biology to perform three main development tasks that will lead to open source artificial intelligence (AI) classification capabilities: 1) performing custom convolutional neural network (CNN) training using a machine learning tool that can be utilized for image classification (such as Google's open source TensorFlow CNN platform), focused on a number of key benthic species (selected in consultation with marine biologists and AI technologists) using an iterative CNN training process to improve the accuracy of the prediction model, 2) developing intelligent video/image annotation tools to augment the capabilities of existing video annotation reference system (VARS) from the Monterey Bay Aquarium Research Institute (MBARI) to streamline annotation/classification workflows; and 3) moving the annotation software, workflow, and CNN tools to the cloud to provide widespread adoption and reiteration/customization capabilities to the broader scientific and consulting community.

C. Goals and Objectives of the Agreement

Agreement Goals

The goal of this Agreement is to advance annotation classification capabilities in the marine environment to realize significant reductions in time, cost, and uncertainty when performing underwater environmental assessment work for marine renewable energy permitting and other ocean monitoring scenarios.

Ratepayer Benefits:² This Agreement will result in the ratepayer benefit[s] of lower costs automating a costly and time-consuming task in marine biological surveys associated with planning and permitting offshore renewable energy facilities. The work that will be accomplished in this agreement will provide the scientific community with tools that will significantly reduce the costs of data analysis from video and images collected in the marine environment. These tools will provide regulatory agencies, decision makers, and stakeholders with higher quality data at

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

EXHIBIT A Scope of Work

1 less cost regarding the status of California’s marine ecosystems and the potential impact of
2 offshore renewable energy technologies on these ecosystems. Reducing the scientific
3 uncertainty of current status and potential impacts is critical for stakeholder/public acceptance of
4 offshore renewable energy deployment and (assuming these technologies are deployed) will
5 lead to greater reliability in California’s energy system by facilitating the development of more
6 diversified energy resources.

7
8 Technological Advancement and Breakthroughs:³ This Agreement will lead to technological
9 advancement and breakthroughs to overcome barriers to the achievement of the State of
10 California’s statutory energy goals by applying artificial intelligence to facilitate faster and
11 cheaper undersea biological surveys and monitoring in support of offshore renewable energy.
12 These tools will reduce much of the time-consuming viewing and interpretation of video imagery
13 of sea life that will be necessary to assess the impact of marine renewable energy on
14 California’s marine ecological resources. Reducing the uncertainty of marine renewable energy
15 production will provide decision makers with better information as California seeks to achieve its
16 Renewable Portfolio Standards goals (currently 50%) and, especially, in anticipation of more
17 ambitious goals that are likely to be legislated in the near future.

18 19 Agreement Objectives

20 The objectives of this Agreement are to:

- 21 • Create high accuracy, species level, classification capability for key representative
22 benthic species that are likely to be impacted by offshore wind energy deployment
23 [metric: achieve 90% accuracy rate in the classification of target species.];
- 24 • Create annotation workflow tools that utilize AI to enhance the marine video/image
25 analysis capabilities of human experts to greatly reduce the time and expense of
26 environmental assessment in the marine environment [metric: increase labeling efficiency
27 rate of human annotators]; and
- 28 • Create an open source, customizable, and easy to use artificially intelligent annotation
29 system that can be shared with a global user base [metric: number of active
30 users/downloads; number user-community software updates performed].

31 32 33 **III. TASK 1 GENERAL PROJECT TASKS**

34 35 **PRODUCTS**

36 37 **Subtask 1.1 Products**

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

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

1 **The Recipient shall:**
2

3 For products that require a draft version, including the Final Report Outline and Final Report

- 4 • Submit all draft products to the CAM for review and comment in accordance with the
5 Project Schedule (Part V). The CAM will provide written comments to the Recipient on
6 the draft product within 15 days of receipt, unless otherwise specified in the task/subtask
7 for which the product is required.
- 8 • Consider incorporating all CAM comments into the final product. If the Recipient
9 disagrees with any comment, provide a written response explaining why the comment
10 was not incorporated into the final product.
- 11 • Submit the revised product and responses to comments within 10 days of notice by the
12 CAM, unless the CAM specifies a longer time period, or approves a request for
13 additional time.

14
15 For products that require a final version only

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

18
19 For all products

- 20 • Submit all data and documents required as products in accordance with the following:
21

22 Instructions for Submitting Electronic Files and Developing Software:
23

24 ○ **Electronic File Format**

- 25 ▪ Submit all data and documents required as products under this Agreement in
26 an electronic file format that is fully editable and compatible with the Energy
27 Commission's software and Microsoft (MS)-operating computing platforms, or
28 with any other format approved by the CAM. Deliver an electronic copy of the
29 full text of any Agreement data and documents in a format specified by the
30 CAM, such as memory stick or CD-ROM.

31
32 The following describes the accepted formats for electronic data and documents
33 provided to the Energy Commission as products under this Agreement, and
34 establishes the software versions that will be required to review and approve all
35 software products:

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

43
44 ○ **Software Application Development**

45 Use the following standard Application Architecture components in compatible
46 versions for any software application development required by this Agreement
47 (e.g., databases, models, modeling tools), unless the CAM approves other
48 software applications such as open source programs:

EXHIBIT A Scope of Work

- 1 ▪ Microsoft ASP.NET framework (version 3.5 and up). Recommend 4.0.
- 2 ▪ Microsoft Internet Information Services (IIS), (version 6 and up)
- 3 Recommend 7.5.
- 4 ▪ Visual Studio.NET (version 2008 and up). Recommend 2010.
- 5 ▪ C# Programming Language with Presentation (UI), Business Object and Data
- 6 Layers.
- 7 ▪ SQL (Structured Query Language).
- 8 ▪ Microsoft SQL Server 2008, Stored Procedures. Recommend 2008
- 9 R2.
- 10 ▪ Microsoft SQL Reporting Services. Recommend 2008 R2.
- 11 ▪ XML (external interfaces).
- 12

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

MEETINGS

Subtask 1.2 Kick-off Meeting

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

The Recipient shall:

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

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

- 34 ○ Terms and conditions of the Agreement;
- 35 ○ Administrative products (subtask 1.1);
- 36 ○ CPR meetings (subtask 1.3);
- 37 ○ Match fund documentation (subtask 1.7);
- 38 ○ Permit documentation (subtask 1.8);
- 39 ○ Subcontracts (subtask 1.9); and
- 40 ○ Any other relevant topics.

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

- 43 ○ The CAM's expectations for accomplishing tasks described in the Scope of Work;
- 44 ○ An updated Project Schedule;
- 45 ○ Technical products (subtask 1.1);
- 46 ○ Progress reports and invoices (subtask 1.5);
- 47 ○ Final Report (subtask 1.6);
- 48 ○ Technical Advisory Committee meetings (subtasks 1.10 and 1.11); and
- 49 ○ Any other relevant topics.

EXHIBIT A Scope of Work

- 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.

EXHIBIT A

Scope of Work

- 1 • Conduct and make a record of each CPR meeting. Provide the Recipient with a
2 *Schedule for Providing a Progress Determination* on continuation of the project.
- 3 • Determine whether to continue the project, and if so whether modifications are needed
4 to the tasks, schedule, products, or budget for the remainder of the Agreement. If the
5 CAM concludes that satisfactory progress is not being made, this conclusion will be
6 referred to the Deputy Director of the Energy Research and Development Division.
- 7 • Provide the Recipient with a *Progress Determination* on continuation of the project, in
8 accordance with the schedule. The Progress Determination may include a requirement
9 that the Recipient revise one or more products.

10 11 **Recipient Products:**

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

14 15 **CAM Products:**

- 16 • CPR Agenda
- 17 • List of Expected CPR Participants
- 18 • Schedule for Providing a Progress Determination
- 19 • Progress Determination

20 21 **Subtask 1.4 Final Meeting**

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

23 24 **The Recipient shall:**

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

30
31 The technical and administrative aspects of Agreement closeout will be discussed at the
32 meeting, which may be divided into two separate meetings at the CAM's discretion.

- 33 ○ The technical portion of the meeting will involve the presentation of findings,
34 conclusions, and recommended next steps (if any) for the Agreement. The CAM will
35 determine the appropriate meeting participants.
- 36 ○ The administrative portion of the meeting will involve a discussion with the CAM and
37 the CAO of the following Agreement closeout items:
 - 38 ▪ Disposition of any state-owned equipment.
 - 39 ▪ Need to file a Uniform Commercial Code Financing Statement (Form UCC-1)
40 regarding the Energy Commission's interest in patented technology.
 - 41 ▪ The Energy Commission's request for specific "generated" data (not already
42 provided in Agreement products).
 - 43 ▪ Need to document the Recipient's disclosure of "subject inventions"
44 developed under the Agreement.
 - 45 ▪ "Surviving" Agreement provisions such as repayment provisions and
46 confidential products.
 - 47 ▪ Final invoicing and release of retention.
- 48 • Prepare a *Final Meeting Agreement Summary* that documents any agreement made
49 between the Recipient and Commission staff during the meeting.

EXHIBIT A Scope of Work

- Prepare a *Schedule for Completing Agreement Closeout Activities*.
- Provide *All Draft and Final Written Products* on a CD-ROM or USB memory stick, organized by the tasks in the Agreement.

Products:

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

REPORTS AND INVOICES

Subtask 1.5 Progress Reports and Invoices

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

The Recipient shall:

- Submit a monthly *Progress Report* to the CAM. Each progress report must:
 - Summarize progress made on all Agreement activities as specified in the scope of work for the preceding month, including accomplishments, problems, milestones, products, schedule, fiscal status, and an assessment of the ability to complete the Agreement within the current budget and any anticipated cost overruns. See the Progress Report Format Attachment for the recommended specifications.
- 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

EXHIBIT A Scope of Work

- 1 • Comments on Draft Final Report Outline
- 2 • Acceptance of Final Report Outline

3 4 **Subtask 1.6.2 Final Report**

5 6 **The Recipient shall:**

- 7 • Prepare a *Final Report* for this Agreement in accordance with the approved Final Report
8 Outline, Style Manual, and Final Report Template provided by the CAM with the
9 following considerations:
 - 10 ○ Ensure that the report includes the following items, in the following order:
 - 11 ▪ Cover page (**required**)
 - 12 ▪ Credits page on the reverse side of cover with legal disclaimer (**required**)
 - 13 ▪ Acknowledgements page (optional)
 - 14 ▪ Preface (**required**)
 - 15 ▪ Abstract, keywords, and citation page (**required**)
 - 16 ▪ Table of Contents (**required**, followed by List of Figures and List of
17 Tables, if needed)
 - 18 ▪ Executive summary (**required**)
 - 19 ▪ Body of the report (**required**)
 - 20 ▪ References (if applicable)
 - 21 ▪ Glossary/Acronyms (If more than 10 acronyms or abbreviations are used,
22 it is required.)
 - 23 ▪ Bibliography (if applicable)
 - 24 ▪ Appendices (if applicable) (Create a separate volume if very large.)
 - 25 ▪ Attachments (if applicable)
 - 26 ○ Ensure that the document is written in the third person.
 - 27 ○ Ensure that the Executive Summary is understandable to the lay public.
 - 28 ▪ Briefly summarize the completed work. Succinctly describe the project
29 results and whether or not the project goals were accomplished.
 - 30 ▪ Identify which specific ratepayers can benefit from the project results
31 and how they can achieve the benefits.
 - 32 ▪ If it's necessary to use a technical term in the Executive Summary,
33 provide a brief definition or explanation when the technical term is first
34 used.
 - 35 ○ Follow the Style Guide format requirements for headings, figures/tables, citations,
36 and acronyms/abbreviations.
 - 37 ○ Ensure that the document omits subjective comments and opinions. However,
38 recommendations in the conclusion of the report are allowed.
 - 39 ○ Include a brief description of the project results in the Abstract.
- 40 • Submit a draft of the report to the CAM for review and comment. The CAM will provide
41 written comments to the Recipient on the draft product within 15 days of receipt
- 42 • Consider incorporating all CAM comments into the Final Report. If the Recipient
43 disagrees with any comment, provide a written response explaining why the comment
44 was not incorporated into the final product
- 45 • Submit the revised Final Report and responses to comments within 10 days of notice by
46 the CAM, unless the CAM specifies a longer time period or approves a request for
47 additional time.
- 48 • Submit one bound copy of the *Final Report* to the CAM along with *Written Responses to*
49 *Comments on the Draft Final Report*.

EXHIBIT A Scope of Work

1 **Products:**

- 2 • Final Report (draft and final)
- 3 • Written Responses to Comments on the Draft Final Report
- 4

5 **CAM Product:**

- 6 • Written Comments on the Draft Final Report
- 7

8 **MATCH FUNDS, PERMITS, AND SUBCONTRACTS**

9

10 **Subtask 1.7 Match Funds**

11 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.

12

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

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20 **The Recipient shall:**

- 21 • Prepare a *Match Funds Status Letter* that documents the match funds committed to this Agreement. If no match funds were part of the proposal that led to the Energy Commission awarding this Agreement and none have been identified at the time this Agreement starts, then state this in the letter.
- 22
- 23
- 24
- 25
- 26

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

28

- 29 • A list of the match funds that identifies:
- 30 ▪ 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.
- 31
- 32
- 33 ▪ 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.
- 34
- 35
- 36
- 37
- 38
- 39
- 40 ▪ If different from the solicitation application, provide a letter of commitment from an authorized representative of each source of match funding that the funds or contributions have been secured.
- 41
- 42
- 43 • 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.
- 44
- 45
- 46 • Provide a *Supplemental Match Funds Notification Letter* to the CAM of receipt of additional match funds.
- 47

EXHIBIT A Scope of Work

- 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.

EXHIBIT A Scope of Work

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;

EXHIBIT A Scope of Work

- 1 • Utility representatives;
- 2 • Air district staff; and
- 3 • Members of relevant technical society committees.

4 5 **The Recipient shall:**

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

16 17 **Products:**

- 18 • List of Potential TAC Members
- 19 • List of TAC Members
- 20 • Documentation of TAC Member Commitment

21 22 **Subtask 1.11 TAC Meetings**

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

25 26 **The Recipient shall:**

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

39 40 **Products:**

- 41 • TAC Meeting Schedule (draft and final)
- 42 • TAC Meeting Agendas (draft and final)
- 43 • TAC Meeting Back-up Materials
- 44 • TAC Meeting Summaries

EXHIBIT A

Scope of Work

1 IV. TECHNICAL TASKS

2
3 *Products that require a draft version are indicated by marking “(draft and final)” after the*
4 *product name in the “Products” section of the task/subtask. If “(draft and final)” does not appear*
5 *after the product name, only a final version of the product is required. **Subtask 1.1 (Products)***
6 *describes the procedure for submitting products to the CAM.*
7

8 **TASK 2: SELECT TARGET SPECIES AND COMPILE UNDERWATER IMAGERY**

9 The goals of this task are to: (1) select a set of target species that may be disturbed by offshore
10 renewable energy development; and (2) assemble and prepare an appropriate sample of
11 underwater stills and/or video to train and test the classification system.
12

13 **The Recipient shall:**

- 14 • Work with MBARI, the TAC, and the CAM to select a representative set of target benthic
15 species that occur off California’s coast in areas that may be impacted in the future by
16 marine renewable energy facilities. These may also include a variety of lifeforms to
17 provide a good variety of classification challenges for the technique.
- 18 • Work with MBARI to obtain an appropriate subset of existing video or other imagery.
- 19 • Prepare a *Target Species Selection Technical Memo* that describes the criteria and
20 process for selecting the species to be used in the classification tasks and the list of
21 species; also identify the set of underwater imagery obtained for the study from existing
22 archives and the preprocessing done to prepare it for analysis.
23

24 **Products:**

- 25 • Target Species Selection Technical Memo
26
27

28 **TASK 3: MIGRATE HUMAN-IN-THE-LOOP TRAINING INTERFACE TO THE CLOUD TO** 29 **ACCOMMODATE MOBILE WORKFLOW**

30 The goals of this task are to 1) provide students, faculty, and staff with the ability to work
31 remotely as needed; and 2) provide a baseline platform for future distribution of these open
32 source tools to the public.
33

34 **The Recipient shall:**

- 35 • Create a website/work portal hosted on Amazon web services that allows users to
36 annotate videos and curate training images from Task 2.
- 37 • Train students on VARS annotation tools.
- 38 • Apply segmentation algorithms in the VARS tools and to image sets as needed to
39 identify objects inside images.
- 40 • Develop initial capabilities to provide remote annotators with intelligent classification
41 suggestions produced by CNN models and ultimately, to compile open source code for
42 an augmented version of the VARS platform that is cloud compatible.
- 43 • Prepare a *Human-in-the-Loop User Guide* to the training interface that simplifies the
44 public’s ability to utilize and modify the open source code.
- 45 • Prepare a *CPR Report* in accordance with subtask 1.3 (CPR Meetings).
- 46 • Participate in a CPR meeting.
47

48 **Products:**

- 49 • Human-in-the-Loop User Guide

EXHIBIT A Scope of Work

- CPR Report

TASK 4: SETUP AND TRAIN CUSTOM CONVOLUTIONAL NEURAL (TENSORFLOW) NETWORKS FOR TARGET SPECIES

The goal of this task is to create and train custom CNN's to provide high accuracy classification prediction capabilities for targeted species.

The Recipient shall:

- Work with experts to query target conditions for species (i.e. identify video more likely to include target species based on depth, temp, PH, O2, time of year, and other criteria).
- Work with experts to digitize video in ProRes format.
- Work with experts to label some of the video (e.g. 1000 examples per class).
- Work with experts to train students/faculty on CNN model setup and iterative correction process.
- Apply filtering algorithms to cleanup variable quality video data in the subset of the data that has been selected for detailed analysis (see above).
- Create CNN model to train for target species.
- Train CNN model.
- Run inference and assess classification accuracy.
- Correct misclassifications using human-in-the-loop methods from Task 3.
- Work with experts to apply quality assurance/quality control oversight to ensure that CNN's are being trained with accurately labeled training datasets.
- Repeat as necessary to reach acceptable accuracy (target >90%).
- Iteratively repeat the process for each targeted species per Target Species Selection Technical Memo.
- Prepare a *CNN Model Results Report* that describes the CNN algorithms that were trained to automatically classify targeted underwater species and the results including the accuracy level achieved.

Products:

- CNN Model Results Report (draft and final)

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:

EXHIBIT A Scope of Work

- 1 ○ For Product Development Projects and Project Demonstrations:
2 ▪ Published documents, including date, title, and periodical name.
3 ▪ Estimated or actual energy and cost savings, and estimated statewide energy
4 savings once market potential has been realized. Identify all assumptions used in
5 the estimates.
6 ▪ Greenhouse gas and criteria emissions reductions.
7 ▪ Other non-energy benefits such as reliability, public safety, lower operational
8 cost, environmental improvement, indoor environmental quality, and societal
9 benefits.
10 ▪ Data on potential job creation, market potential, economic development, and
11 increased state revenue as a result of the project.
12 ▪ A discussion of project product downloads from websites, and publications in
13 technical journals.
14 ▪ A comparison of project expectations and performance. Discuss whether the
15 goals and objectives of the Agreement have been met and what improvements
16 are needed, if any.
17 ▪ Additional Information for Product Development Projects:
18 • Outcome of product development efforts, such copyrights and license
19 agreements.
20 • Units sold or projected to be sold in California and outside of California.
21 • Total annual sales or projected annual sales (in dollars) of products
22 developed under the Agreement.
23 • Investment dollars/follow-on private funding as a result of Energy
24 Commission funding.
25 • Patent numbers and applications, along with dates and brief descriptions.
26 ▪ Additional Information for Product Demonstrations:
27 • Outcome of demonstrations and status of technology.
28 • Number of similar installations.
29 • Jobs created/retained as a result of the Agreement.
30
31 ○ For Information/Tools and Other Research Studies:
32 ▪ Outcome of project.
33 ▪ Published documents, including date, title, and periodical name.
34 ▪ A discussion of policy development. State if the project has been cited in
35 government policy publications or technical journals, or has been used to inform
36 regulatory bodies.
37 ▪ The number of website downloads.
38 ▪ An estimate of how the project information has affected energy use and cost, or
39 have resulted in other non-energy benefits.
40 ▪ An estimate of energy and non-energy benefits.
41 ▪ Data on potential job creation, market potential, economic development, and
42 increased state revenue as a result of project.
43 ▪ A discussion of project product downloads from websites, and publications in
44 technical journals.
45 ▪ A comparison of project expectations and performance. Discuss whether the
46 goals and objectives of the Agreement have been met and what improvements
47 are needed, if any.

EXHIBIT A Scope of Work

- 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, 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)
- High Quality Digital Photographs
- Technology/Knowledge Transfer Plan (draft and final)
- Technology/Knowledge Transfer Report (draft and final)

EXHIBIT A Scope of Work

1 V. PROJECT SCHEDULE

2

3 Please see the attached Excel spreadsheet.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: CAL POLY CORPORATION

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-17-029 from GFO-16-311 with Cal Poly Corporation for a \$199,978 grant to develop innovative cost-effective methods for biological surveys to inform offshore renewable energy development; 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 March 21, 2018.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Cody Goldthrite,
Secretariat