



STATE OF CALIFORNIA

GRANT AMENDMENT REQUEST FORM (GARF)

CEC-277 (Revised 12/2019)

CALIFORNIA ENERGY COMMISSION

Original Agreement # EPC-15-030 Amendment # 1

Division	Agreement Manager:	MS-	Phone
ERDD	Eleanor Oliver	51	916-776-0800

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

Revisions: (check all that apply)	Additional Requirements
<input checked="" type="checkbox"/> Term Extension New End Date: 3/31/2026	Include revised schedule and complete items A, B, C, & F below.
<input checked="" type="checkbox"/> Budget Augmentation Amendment Amount: \$ 5,000,000	Include revised budget and complete items A, B, C, D, & F below.
<input type="checkbox"/> Budget Reallocation	Include revised budget and complete items A, B, C, & F below.
<input checked="" type="checkbox"/> Scope of Work Revision	Include revised scope of work and complete items A, B, C, E, & F below.
<input type="checkbox"/> Change in Project Location or Demonstration Site	Include revised scope of work and complete items A, B, C, E, & F below.
<input type="checkbox"/> Novation/Name Change of Prime Recipient	Include novation documentation and complete items A, B, C, & F below.
<input type="checkbox"/> Terms and Conditions Modification	Include applicable exhibits with bold/underline/ strikeout and complete items A, B, C, & F below.

A) Business Meeting Information**Business Meeting approval is not required for the following types of Agreements:**☐ Minor amendments delegated to Executive Director per December 2013 ResolutionProposed Business Meeting Date 6/9/2021 ☐ Consent ☒ Discussion

Business Meeting Presenter Anthony Ng Time Needed: 10 minutes

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

Agenda Item Subject and Description:**Cleantech San Diego Association**

Proposed resolution approving Amendment 1 to Agreement EPC-15-030 with Cleantech San Diego Association to continue and expand the successful San Diego Regional Energy Innovation Cluster program established under this agreement by augmenting the budget with \$5,000,000 in funding, and adopting staff's determination that this project is exempt from CEQA. The amendment will update the Scope of Work and extend the agreement term by five years to enable the San Diego Regional Energy Innovation Cluster to continue to provide commercialization support services to clean energy entrepreneurship in San Diego, Imperial, Riverside and San Bernardino Counties. This program will leverage the region's universities, industries, businesses, economic development



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organizations, and other key stakeholder groups to foster collaborations across the private-public-academic landscape. (EPIC funding) Contact: Anthony Ng.

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

Legal Company Name:	Budget
Center for Sustainable Energy	\$ 279,950
San Diego State University Research Foundation	\$ 1,811,738
The Regents of the University of California, on behalf of the San Diego campus	\$ 1,783,333
University of San Diego	\$ 1,810,317
San Diego Venture Group	\$ 29,691
Inland Empire Economic Partnership	\$ 54,690
Imperial Valley Economic Development Corporation	\$ 54,690
CONNECT Foundation	\$ 643,750
The Regents of the University of California, on behalf of the Riverside Campus	\$ 450,000
California State University San Marcos	\$ 25,000

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

Legal Company Name:

D) Budget Information (only include amendment amount information)

Funding Source	Funding Year of Appropriation	Budget List Number	Amount
EPIC	20-21	301.001H	\$5,000,000
			\$

R&D Program Area: EDMFO: EDMF

TOTAL: \$ 5,000,000

Explanation for "Other" selection

Federal Agreement #:

E) 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":

2. If Agreement is considered a "Project" under CEQA:

a) ☒ Agreement **IS** exempt.

☐ 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)

**GRANT AMENDMENT REQUEST FORM (GARF)**

Explain reason why Agreement is exempt under the above section: The Energy Commission made CEQA findings pertaining to this grant, including that it is exempt under CEQA, when it approved grant EPC-15-030 at a Business Meeting on 4/13/2016. This amendment will continue and expand the support services provided by the San Diego Regional Energy Innovation Cluster program to clean energy entrepreneurs. The activities consist of the operation of existing public and private facilities involving negligible or no expansion of use beyond that existing. The amendment will not result in any impact to the environment beyond those already considered when this grant was originally approved, and do not change the applicability of the categorical exemption under 14 C.C.R. § 15301 for this amendment.

- 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

F) The following items should be attached to this GARF (as applicable)

- | | | |
|---|---|--|
| 1. Exhibit A, Scope of Work/Schedule | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 2. Exhibit B, Budget Detail | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 3. CEQA Documentation | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 4. Novation Documentation | <input checked="" type="checkbox"/> N/A | <input type="checkbox"/> Attached |
| 5. CEC 105, Questionnaire for Identifying Conflicts | | <input checked="" type="checkbox"/> Attached |

Eleanor Oliver
Agreement Manager

4/27/2021
Date

Erik Stokes
Office Manager

4/28/2021
Date

Linda Spiegel
Deputy Director

4/28/2021
Date

Exhibit A
Scope of Work
Cleantech San Diego Association

I. TASK ACRONYM/TERM LISTS

A. Task List

Task #	CPR ¹	Task Name
1	X	General Project Tasks
2		Program Expansion
3		Recruit, Outreach, and Engagement for Entrepreneurs
4		Cluster Service Plans
5		Recruit, Outreach, and Engagement for Stakeholders
6		Ecosystem Collaboration and Continuation
7		Evaluation of Project Benefits

B. Acronym/Term List

Acronym/Term	Meaning
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CEC	California Energy Commission
CPR	Critical Project Review
EPIC	Electric Program Investment Charge
IOU	Investor Owned Utility
SCEIN	Southern California Energy Innovation Network
SEED	Sustainable Energy Entrepreneur Development Initiative
TAC	Technical Advisory Committee
TRC	Technology Review Committee

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

A. Purpose of Agreement

The purpose of this Agreement is to fund the collaboration of organizations in the San Diego Region to provide and coordinate key services, assistance, resources, and infrastructure needed by entrepreneurs and researchers in the region to successfully bring to market energy innovations that can benefit Investor Owned Utility (IOU) electric ratepayers. The overall goal is to advance sustainable solutions for the benefit of job creation, decarbonization, and cost reduction for all members of the community.

B. Problem/ Solution Statement

Problem

In 2016, Cleantech San Diego and project partners were awarded \$5 million to develop the San Diego Regional Energy Innovation Network—now the Southern California Energy Innovation

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

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Network (SCEIN)—as part of the Electric Program Investment Charge (EPIC) Program. Through its local and regional network of private, public, and academic partnerships, Cleantech San Diego and SCEIN serve as a critical conduit between cleantech startups and a deep bench of industry professionals. Among its many valuable services, the program makes connections to potential customers and strategic partners, offers access to pilot project opportunities, and provides introductions to the investment community.

Absent follow-on funding, future and current participating clean energy startups in SCEIN would lose critical support and potential raised capital that is vital for their path to commercialization. Discontinuing SCEIN would halt the established application pipeline and significantly reduce the momentum of the energy innovation industry and its outcomes, which benefit California ratepayers and the state's clean energy future as a whole. Interruption in funding would also impede equity progress being made to bring the opportunities and benefits of clean energy to all Californians. While SCEIN is based in San Diego County, SCEIN also serves three other counties (Riverside, San Bernardino, and Imperial), which have much larger populations of underserved communities.

Solution

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

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

- Accelerate the commercialization of energy innovations in Imperial, Riverside, San Bernardino, and San Diego counties.
- Provide key services, infrastructure, expertise, and resources to energy entrepreneurs in their region to successfully deploy and commercialize their innovations.
- Connect emerging energy technologies to region-specific needs, opportunities, and assets.
- Promote economic growth and job creation in the region.
- Advance the San Diego Region in meeting the CEC's statutory energy goals.
- Organize collaboration and regional planning around energy innovations that will benefit SDG&E and SCE ratepayers.
- Address climate equity by supporting and encouraging SCEIN companies to have employee diversity and provide affordable and innovative products and services that benefit all Californians.
- Expand SCEIN's underserved community outreach and impact across all four served counties.

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

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

Agreement Objectives

The objectives of this Agreement are to:

- Provide a customized plan of commercialization support services to energy entrepreneurs in Imperial, Riverside, San Bernardino, and San Diego counties.
- Provide customized entrepreneurial services, including education/training, customer discovery, business development, testing facilities, advisory support, and capital connections.
- Provide services for 30+ entrepreneurs annually, based on the number of participants in our existing program, and the ability to support additional innovation.

III. TASK 1 GENERAL PROJECT TASKS

PRODUCTS

Subtask 1.1 Products

The goal of this subtask is to establish the requirements for submitting project products (e.g., reports, summaries, plans, and presentation materials). Unless otherwise specified by the Commission Agreement Manager (CAM), the Recipient must deliver products as required below by the dates listed in the **Project Schedule (Part V)**. All products submitted which will be viewed by the public, must comply with the accessibility requirements of Section 508 of the federal Rehabilitation Act of 1973, as amended (29 U.S.C. Sec. 794d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Federal Code of Regulations. All technical tasks should include product(s). Products that require a draft version are indicated by marking “**(draft and final)**” after the product name in the “Products” section of the task/subtask. If “(draft and final)” does not appear after the product name, only a final version of the product is required. With respect to due dates within this Scope of Work, “**days**” means working days.

The Recipient shall:

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

- Submit all draft products to the CAM for review and comment in accordance with the Project Schedule (Part V). The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt, unless otherwise specified in the task/subtask for which the product is required.

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).

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- 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 California Energy Commission's (CEC) 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.

The following describes the accepted formats for electronic data and documents provided to the CEC 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.
- 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).

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Any exceptions to the Electronic File Format requirements above must be approved in writing by the CAM. The CAM will consult with the CEC'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 CEC 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 Recipient 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;
- Invoicing and auditing procedures;
- 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 (subtask 1.5);
- Final Report (subtask 1.6);
- Technical Advisory Committee meetings (subtasks 1.10 and 1.11); and
- Any other relevant topics.

- Provide *Kick-off Meeting Presentation* to include but not limited to:
 - Project overview (i.e. project description, goals and objectives, technical tasks, expected benefits, etc.)
 - Project schedule that identifies milestones
 - List of potential risk factors and hurdles, and mitigation strategy
- Provide an *Updated Project Schedule*, *Match Funds Status Letter*, and *Permit Status Letter*, as needed to reflect any changes in the documents.

The CAM shall:

- Designate the date and location of the meeting.

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The Recipient shall:

- Send the CAM a *Kick-off Meeting Agenda*.

Recipient Products:

- Kick-off Meeting Agenda
- Kick-off Meeting Presentation
- Updated Project Schedule (*if applicable*)
- Match Funds Status Letter (subtask 1.7) (*if applicable*)
- Permit Status Letter (subtask 1.8) (*if applicable*)

Subtask 1.3 Critical Project Review (CPR) Meetings

The goal of this subtask is to determine if the project should continue to receive CEC 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 CEC 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 CEC.

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 CEC, 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:

- Conduct a CPR meeting biannually with CAM and other any other CEC staff relevant to the Agreement.
- Determine the location, date, and time of each CPR meeting with the CAM's input.
- Prepare and submit a *CPR Agenda(s)* with 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.
- Prepare and submit a *CPR Report(s)* 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.
- Attend the CPR meeting.
- Present the CPR Report and any other required information at each CPR meeting.

The CAM shall:

- 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.

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- 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 revises one or more products.

Recipient Products:

- CPR Report(s)
- CPR Agenda(s)

CAM Products:

- 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 CEC 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 procured equipment.
 - The CEC'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 copies of *All Final Products* on a USB memory stick, organized by the tasks in the Agreement.

Products:

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

REPORTS AND INVOICES

Subtask 1.5 Progress Reports and Invoices

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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 *Monthly Update(s)* and *Quarterly Progress Report(s)* to the CAM. Each Quarterly 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(s)* that follows the instructions in the “Payment of Funds” section of the terms and conditions, including a financial report on Match Funds and in-state expenditures.

Products:

- Monthly Update(s)
- Quarterly Progress Report(s)
- Invoice(s)

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. When creating the Final Report Outline and the Final Report, the Recipient must use the CEC 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 *Energy Commission Style Manual* provided by the CAM.

Recipient Products:

- Final Report Outline (draft and final)

CAM Product:

- Energy Commission 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, Energy Commission 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**)

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- 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)
- Submit a draft of the Executive Summary to the TAC for review and comment.
 - Develop and submit a *Summary of TAC Comments* received on the Executive Summary. For each comment received, the recipient will identify in the summary the following:
 - Comments the recipient proposes to incorporate.
 - Comments the recipient does propose to incorporate and an explanation for why.
 - 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.
 - Incorporate all CAM comments into the *Final Report*. If the Recipient disagrees with any comment, provide a *Written Responses to Comments* explaining why the comments were not incorporated into the final product.
 - Submit the revised *Final Report* electronically with any Written Responses to Comments within 10 days of receipt of CAM's Written Comments on the Draft Final Report, unless the CAM specifies a longer time period or approves a request for additional time.

Products:

- Summary of TAC Comments
- Draft Final Report
- Written Responses to Comments (*if applicable*)
- 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 CEC 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:

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- 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 CEC awarding this Agreement and none have been identified at the time this Agreement starts, then state this in the letter.

If match funds were a part of the proposal that led to the CEC 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.
 - 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.
- 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.

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- 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 each executed subcontract.
- Notify and receive written approval from the CAM prior to adding any new subcontractors (see the discussion of subcontractor additions in the terms and conditions).

Products:

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

TECHNICAL ADVISORY COMMITTEE

Subtask 1.10 Technical Advisory Committee (TAC)

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

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- Provide guidance in project direction. The guidance may include scope and methodologies, timing, and coordination with other projects. The guidance may be based on:
 - Technical area expertise;
 - Knowledge of market applications; or
 - Linkages between the agreement work and other past, present, or future projects (both public and private sectors) that TAC members are aware of in a particular area.
- Review products and provide recommendations for needed product adjustments, refinements, or enhancements.
- Evaluate the tangible benefits of the project to the state of California, and provide recommendations as needed to enhance the benefits.
- Provide recommendations regarding information dissemination, market pathways, or commercialization strategies relevant to the project products.
- Help set the project team's goals and contribute to the development and evaluation of its statement of proposed objectives as the project evolves.
- Provide a credible and objective sounding board on the wide range of technical and financial barriers and opportunities.
- Help identify key areas where the project has a competitive advantage, value proposition, or strength upon which to build.
- Advocate, to the extent the TAC members feel is appropriate, on behalf of the project in its effort to build partnerships, governmental support and relationships with a national spectrum of influential leaders.
- Ask probing questions that insure a long-term perspective on decision-making and progress toward the project's strategic goals.

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.

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- 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.

The TAC shall:

- Help set the project team's goals and contribute to the development and evaluation of its statement of proposed objectives as the project evolves.
- Provide a credible and objective sounding board on the wide range of technical and financial barriers and opportunities.
- Help identify key areas where the project has a competitive advantage, value proposition, or strength upon which to build.
- Advocate on behalf of the project in its effort to build partnerships, governmental support and relationships with a national spectrum of influential leaders.
- Ask probing questions that insure a long-term perspective on decision-making and progress toward the project's strategic goals.
- Review and provide comments to proposed project performance metrics.
- Review and provide comments to proposed project Draft Technology Transfer Plan.

Products:

- TAC Meeting Schedule (*draft if required by the CAM*)
- TAC Meeting Agendas (*draft if required by the CAM*)
- TAC Meeting Back-up Materials
- TAC Meeting Summaries

Subtask 1.12 Project Performance Metrics

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The goal of this subtask is to finalize key performance targets for the project based on feedback from the TAC and report on final results in achieving those targets. The performance targets should be a combination of scientific, engineering, techno-economic, and/or programmatic metrics that provide the most significant indicator of the research or technology's potential success.

The Recipient shall:

- Complete and submit the project performance metrics from the *Initial Project Benefits Questionnaire*, developed in the Evaluation of Project Benefits task, to the CAM.
- Present the draft project performance metrics at the first TAC meeting to solicit input and comments from the TAC members.
- Develop and submit a *TAC Performance Metrics Summary* that summarizes comments received from the TAC members on the proposed project performance metrics. The *TAC Performance Metrics Summary* will identify:
 - TAC comments the Recipient proposes to incorporate into the Initial Project Benefits Questionnaire, developed in the Evaluation of Project Benefits task.
 - TAC comments the Recipient does not propose to incorporate with and explanation why.
- Develop and submit a *Project Performance Metrics Results* document describing the extent to which the Recipient met each of the performance metrics in the *Final Project Benefits Questionnaire*, developed in the Evaluation of Project Benefits task.
- Discuss the *Project Performance Metrics Results* at the Final Meeting.

Products:

- TAC Performance Metrics Summary
- Project Performance Metrics Results

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IV. TECHNICAL TASKS

TASK 2: PROGRAM EXPANSION

The goal of this task is to expand and build the capacity and capabilities within the SCEIN Program. This will include, but not limited to:

- Increasing project workforce opportunities to support the growing number of interested and accepted companies that can be consistently sustained annually, as well as to provide additional services specifically focused on advancing a diverse portfolio of energy-related technologies that will address regional needs and promote workforce development in Southern California.
- Promoting equitable deployment of sustainable technology solutions across the San Diego region for the benefit of the economy, the environment, and all members of the community. The Recipient will create opportunities to deploy clean energy technologies in San Diego's underserved communities and engage community residents in the clean energy transition.
- Cultivating more impactful relationships with potential qualified and engaging program partners to enhance SCEIN's resources and services in the Inland Empire for entrepreneurs. The project will aid in expanding the SCEIN Inland Empire ecosystem by developing new stakeholder relationships, identifying pipeline cleantech startups, and mentoring existing SCEIN entrepreneurs.

The Recipient shall:

- Expand and restructure the roles and responsibilities of the SCEIN Program to reflect increase capacity to provide services for 30+ entrepreneurs annually.
- Add supplementary program services and resources for entrepreneurs that will enhance the successfulness of technology commercialization, that could include, but is not limited to:
 - Grant writing support
 - Pilot demonstration sites
 - Investor/capital provider networking
 - Strategic co-working spaces
 - Prototyping and Workshop services
 - Legal policy consultations
 - Intellectual Property and Patent services
 - Fundraising
 - Customer discovery
 - Workforce development
 - Enhanced mentor services
 - Manufacturing or Production services
 - Benefit/Impact tools
 - Techno-economic Modeling tools
 - Market and Sustainability assessments
- Prepare *SCEIN 2.0 1-Page Overview*, a one-page document that highlights the anticipated expansion and addition of services and resources. This document will also showcase potential and established project partners and their associated roles and responsibility in the program.
- Create *New Marketing Materials*, upon request of CAM, as additional services and partnerships are including in the program.

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Products:

- SCEIN 2.0 1-Page Overview
- New Marketing Materials (to be determined by CAM)

TASK 3: RECRUIT, OUTREACH, AND ENGAGEMENT FOR ENTREPRENEURS

The goal of this task is to recruit, outreach, and engage with clean energy entrepreneurs developing appropriate technologies for the SCEIN Program. This task will be accomplished with a commitment to supporting the inclusion of a diverse group of participants such as small businesses, and women-, disabled veteran-, minority-, and LGBT-owned businesses, as well as economically disadvantaged and underserved communities, to participate in and benefit from the SCEIN program. This task will also have the Technology Review Committee (TRC), along with the TAC to provide strategic guidance for the entrepreneur by participating in Entrepreneur Intake Sessions, which may be held in various event forms.

The Recipient Shall:

- Update as necessary SCEIN Program Application Portal available to prospective participants at www.cleantechsandiego.org, the Empower Innovation Network online portal, and other EPIC supportive platforms.
- Update as necessary *SCEIN Program Application Portal Summary Document* explaining how to use the system.
- Give the CAM Online Access to the *SCEIN Program Application Portal*.
- Update as necessary *Standardized Marketing and Outreach Plan*, including a clear strategy and marketing materials for use in recruitment events among project partners.
- Update as necessary online marketing collateral, which will include, but not be limited to, email blasts to project partners to market the program and web-based flyers promoting the program and soliciting participation from entrepreneurs as well as mentors, etc. for www.cleantechsandiego.org and project partner websites.
- Update as necessary *Standardized Marketing and Outreach Plan*, via dedicated outreach events and partner activities.
- Organize and conduct regionally focused meetups, workshops, and other various engagement forms to encourage understanding, active participation, and educational entrepreneur concepts
- Monitor success of recruitment efforts through collection and analysis of outreach data. Data shall include the responses received from marketing efforts, the number of people reached with the outreach efforts, and an analysis of web traffic.
- Incorporate outreach data results into a *Bi-annual Marketing/Outreach Evaluation Report* that will be reviewed by the TAC.
- Update *Standardized Marketing and Outreach Plan* as needed based on input from the TAC.
- Invite TRC members to Entrepreneur Intake Sessions to evaluate the candidate entrepreneur, provide constructive feedback, and offer follow-up consultative meetings and/or referrals.
- Collate all of the relevant feedback and consultative services/referrals from the TRC as commercialize solutions for the entrepreneur.

Products:

- SCEIN Program Application Portal Summary Document (*if applicable*)

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- Online Access for CAM to SCEIN Program Application Portal (*if applicable*)
- Standardized Marketing and Outreach Plan (*if applicable*)
- Bi-annual Marketing/Outreach Evaluation Report

TASK 4: CLUSTER SERVICE PLANS

The goal of this task is to implement and create additional Cluster Service Plans for selected applicants that will lead to technology commercialization. Applicants will be screened and interviewed and selected as SCEIN Program participants. A comprehensive service plan will be developed and delivered for participants. This task will collect and analyze performance data and report on participants to determine if participants should continue to receive Cluster services.

The Recipient Shall:

- Review and screen applications on a rolling basis throughout the funding period.
- Select applicants on a rolling basis for SCEIN enrollment upon CAM approval.
- Update as necessary applicant/participant database with CAM accessibility.
- Assess individual participant needs and identify barriers to technology commercialization.
- Develop customized *Cluster Service Plan* for participants that include:
 - Resources, facilities (including testing and proof of concept), and services to be provided to the participant.
 - Assigned personnel from Cluster partners to facilitate services.
 - Schedule indicating timeline for delivery of services.
 - Progress milestones and evaluation metrics.
 - Post-graduation plan for continued advancement towards market adoption.
- Execute Cluster Service Plan for program participants.
- Monitor execution of plans and modify as needed.
- Regularly monitor and evaluate Cluster participant progress based on their SCEIN-customized Cluster Service Plan.

Products:

- Cluster Service Plan

TASK 5: RECRUIT, OUTREACH, AND ENGAGEMENT FOR STAKEHOLDERS

The goal of this task is to recruit, outreach, and engage with vital stakeholders necessary for support and partnership in implementing a successful program. The Recipient will continue and build more impactful relationships with potential program partners to enhance resources and services for the program. This task will collect SCEIN Program and participating entrepreneurs' results, including best practices, lessons learned, and technical breakthrough achieved, will be shared with key stakeholders, other Regional Energy Innovation Clusters, the CEC, and the general public.

The Recipient Shall:

- Maintain and expand the existing TRC, which is made up of volunteer qualified professionals from public, private, nonprofit, and academic organizations who have domain expertise across the broad scope of technologies that span the evolving energy sector. The TRC will, but is not limited to:
 - Providing guidance to SCEIN entrepreneurs and candidate entrepreneurs to accelerate technical and market validation.

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- Sharing any insights regarding competitors and competitive technologies.
- Reviewing technology and provide recommendations for needed technology adjustments, refinements, or enhancements.
- Evaluating the tangible benefits of the innovation to the state of California, and provide recommendations as needed to enhance the benefits.
- Proving recommendations regarding information dissemination, market pathways, or commercialization strategies relevant to the entrepreneurs' startup.
- Helping set the entrepreneurs' goals and contribute to the development and evaluation of its statement of proposed objectives as the innovation evolves.
- Providing a credible and objective sounding board on the wide range of technical, market, and financial barriers and opportunities.
- Helping identify key areas where the entrepreneur has a competitive advantage, value proposition, or strength upon which to build.
- Advocating, to the extent the TRC members feel is appropriate, on behalf of the entrepreneur in their effort to build partnerships, governmental support and relationships with a national spectrum of influential leaders.
- Asking probing questions that ensure a long-term perspective on decision-making and progress toward the entrepreneurs' strategic goals.
- Offering expertise, feedback, and support/services in the evaluation of entrepreneurs and the proposed technology.
- Update and maintain a *List of TRC Members* that includes the names, companies, physical and electronic addresses, and phone numbers.
- Collect and analyze data on program metrics including:
 - Performance data items for which there will be direct costs under the contract between the Energy Commission and the recipient and the contracts between the recipient and its subcontractors associated with services provided.
 - Performance indicators that mark significant commercialization milestone accomplishments.
 - Economic data from companies resulting from any one or combination of services provided to program participants.
 - Other program metrics as directed by the CAM.
- Report program metrics in *Bi-Annual Entrepreneur Metrics* outlining results, challenges, and resolutions.
- Use program and participant evaluations to establish best practices.
- Organize and conduct various focused meetups, workshops, and other engagement forms to encourage understanding, active participation, and educational clean energy concepts
- Host Annual Forum to showcase project highlights, share best practices, and lessons learned with stakeholders and the public.
- Provide CAM a copy of *Annual Forum Agenda* and associated *Annual Forum Materials*, including but not limited to presentations and recordings.
- Prepare *Annual Stakeholder Report* for key decision-makers and the general public on www.cleantechsandiego.org, to include, but not be limited to the following items for each SCEIN participant:
 - Name, location and organization
 - Description of the innovation and how it will benefit electric ratepayers in California IOU service territories and lead to technological advancement or breakthroughs to overcome barriers to achieving the state's statutory energy goals.
 - Description of the cluster services provided
 - Technical and commercialization milestones achieved.

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- For companies the Cluster has stopped providing services to, an explanation for the decision.
- When directed by the CAM, develop presentation materials for a CEC- sponsored conference/workshop(s) on the project.
- When directed by the CAM, participate in the annual EPIC symposium(s) sponsored by the CEC.

Products:

- List of TRC Members
- Bi-Annual Entrepreneur Metrics
- Annual Forum Agenda(s)
- Annual Forum Material(s)
- Annual Stakeholder Report(s)

TASK 6: ECOSYSTEM COLLABORATION AND CONTINUATION

The goals of this task are to serve as an outreach and development mechanism for regional innovator and startup applicants to the California Sustainable Energy Entrepreneur Development Initiative (SEED) Series A and Series B funding program as well as to the Los Angeles, Central Valley, and Bay Area Regional Clusters and other appropriate incubators and accelerators in California. This task will also continue to enhance and sustain Cluster partner collaborations both during and after the EPIC funding term.

The Recipient Shall:

- Continue 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.
- Participate in and provide input during SEED-TAC meetings towards the development of the final *SEED-TAC Progress Report*.
- Participate in monthly CEC Energy Innovation Ecosystem Calls to continue identifying collaboration opportunities.
- Bi-annually meet with its subcontractors to evaluate the status and effectiveness of Cluster program and services and make adjustments as necessary. CAM may choose to participate in these meetings.
- Bi-annually identify opportunities for additional collaborations outside of existing Cluster partners.
- Bi-annually identify opportunities for additional collaborations outside of existing Cluster partners and prepare a *Bi-Annual Ecosystem Cluster Referral Summary* that includes, but not limited to:
 - Name, location and organization
 - Description of the opportunity and provided service or resource.
 - Identify barriers or gaps that would be addressed.
- Update as necessary *SCEIN Continuation Plan* for continuing Cluster cross-collaborations after the term of the EPIC award.

Product:

- SEED-TAC Progress Report

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- SCEIN Continuation Plan *(if applicable)*
- Bi-Annual Ecosystem Cluster Referral Summary

TASK 7: EVALUATION OF PROJECT BENEFITS

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

The Recipient shall:

- Complete the *Initial Project Benefits Questionnaire*. The *Initial Project Benefits Questionnaire* shall be initially completed by the Recipient with 'Kick-off' selected for the 'Relevant data collection period' and submitted to the CAM for review and approval.
- Complete the *Annual Survey* by December 15th of each year. The Annual Survey includes but is not limited to the following information:
 - Technology commercialization progress
 - New media and publications
 - Company growth
 - Follow-on funding and awards received
- Complete the *Final Project Benefits Questionnaire*. The *Final Project Benefits Questionnaire* shall be completed by the Recipient with 'Final' selected for the 'Relevant data collection period' and submitted to the CAM for review and approval.
- Respond to CAM questions regarding the questionnaire drafts.
- Complete and update the project profile on the CEC's public online project and recipient directory on the [Energize Innovation website \(www.energizeinnovation.fund\)](http://www.energizeinnovation.fund), and provide *Documentation of Project Profile on EnergizeInnovation.fund*, including the profile link.
- If the Prime Recipient is an Innovation Partner on the project, complete and update the organizational profile on the CEC's public online project and recipient directory on the [Energize Innovation website \(www.energizeinnovation.fund\)](http://www.energizeinnovation.fund), and provide *Documentation of Organization Profile on EnergizeInnovation.fund*, including the profile link.

Products:

- Initial Project Benefits Questionnaire
- Annual Survey(s)
- Final Project Benefits Questionnaire
- Documentation of Project Profile on EnergizeInnovation.fund
- Documentation of Organization Profile on EnergizeInnovation.fund

V. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: CLEANTECH SAN DIEGO ASSOCIATION

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

RESOLVED, that the CEC approves Amendment 1 to Agreement EPC-15-030 with Cleantech San Diego Association to continue and expand the successful San Diego Regional Energy Innovation Cluster program established under this agreement by augmenting the budget with \$5,000,000 in funding. The amendment will update the Scope of Work and extend the agreement term by five years to enable the San Diego Regional Energy Innovation Cluster to continue to provide commercialization support services to clean energy entrepreneurship in San Diego, Imperial, Riverside and San Bernardino Counties. This program will leverage the region's universities, industries, businesses, economic development organizations, and other key stakeholder groups to foster collaborations across the private public-academic landscape; and

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

CERTIFICATION

The undersigned Secretariat to the CEC 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 CEC held on June 9, 2021.

AYE:

NAY:

ABSENT:

ABSTAIN:

Patricia Carlos
Secretariat