

GRANT REQUEST FORM (GRF)New Agreement EPC-18-003 (To be completed by CGL Office)

Division	Agreement Manager:	MS-	Phone
ERDD	Benson Gilbert	51	916-445-5406

Recipient's Legal Name	Federal ID Number
Lucent Optics, Inc.	68-0455821

Title of Project
Ultra-thin Flexible LED Lighting Panels

Term and Amount	Start Date	End Date	Amount
	1/23/2019	3/31/2022	\$ 1,692,069

Business Meeting Information

<input type="checkbox"/> ARFVTP agreements under \$75K delegated to Executive Director.			
Proposed Business Meeting Date	1/9/2019	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Rachel Salazar	Time Needed:	5 minutes
Please select one list serve. EPIC (Electric Program Investment Charge)			

Agenda Item Subject and Description

LUCENT OPTICS, INC. Proposed resolution approving agreement EPC-18-003 with Lucent Optics, Inc. for a \$1,692,069 grant to develop a new lighting platform technology for making material-efficient and aesthetically pleasant wide-area LED lighting luminaires at a fraction of the cost of traditional fluorescent and LED fixtures. This lighting panel technology combines high-efficiency LEDs with a thin and flexible plastic sheet that redistributes light emitted by the LEDs without glare and without the need of complex and expensive luminaire structures. (EPIC funds)
Contact: Rachel Salazar (Staff presentation: 5 minutes)

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)):

2. If Agreement is considered a "Project" under CEQA:
 a) Agreement **IS** exempt. (Attach draft NOE)
 Statutory Exemption. List PRC and/or CCR section number: _____
 Categorical Exemption. List CCR section number: Cal. Code Regs., tit 14, § 15301 ; Cal. Code Regs., tit 14, § 15306
 Common Sense Exemption. 14 CCR 15061 (b) (3)
 Explain reason why Agreement is exempt under the above section:
 REASON WHY PROJECT IS EXEMPT:
 The reason for the CEQA categorical exemptions are as follows:
 1. For Cal. Code Regs. (CCR), Title 14, Section 15301: This project will involve manufacturing and product testing to be performed at existing laboratory facilities and large commercial/institutional stake-holder facilities. The products to be tested will be advanced distributed energy resource (DER) products that are relevant to large commercial and residential customers, which will include LED lighting, energy management and information systems. The tests that will be performed are temporary in nature and will require only minor alternations to existing structures. Work under this project will result in negligible or no expansion of the existing use of facilities at which testing will occur. This project will result in no significant impact to the environment and is exempt pursuant to CCR, 14 § 15301.
 2. For Cal. Code Regs. (CCR), Title 14, Section 15306: This project will monitor power consumption and luminaire level efficiency to analyze the LED lighting management for existing commercial and residential buildings. This project will consist of basic data collection, research, experimental management, and resource evaluation activities which do not result in a serious or major disturbance to an environmental resource. This project will result in no significant impact to the environment and is exempt pursuant to CCR, 14 § 15306.

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

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

GRANT REQUEST FORM (GRF)



Legal Company Name:	Budget
	\$
	\$

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

Budget Information			
Funding Source	Funding Year of Appropriation	Budget List No.	Amount
EPIC	17-18	301.001E	\$1,692,069
			\$
			\$
			\$
R&D Program Area:	EERO: Buildings	TOTAL:	\$1,692,069
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

Recipient's Administrator/ Officer				Recipient's Project Manager			
Name:	Sergey Vasylyev			Name:	Sergey Vasylyev		
Address:	1832 Tribute Rd Ste C			Address:	1832 Tribute Rd Ste C		
City, State, Zip:	Sacramento, CA 95815-4309			City, State, Zip:	Sacramento, CA 95815-4309		
Phone:	916-226-1763 /	Fax:	- -	Phone:	916-226-1763 /	Fax:	- -
E-Mail:	svasylyev@lucentoptics.com			E-Mail:	svasylyev@lucentoptics.com		

Selection Process Used	
<input checked="" type="checkbox"/> Competitive Solicitation	Solicitation #: GFO-17-308
<input type="checkbox"/> First Come First Served Solicitation	

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

Agreement Manager	Date	Office Manager	Date	Deputy Director	Date
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EXHIBIT A

Scope of Work

I. TASK ACRONYM/TERM LISTS

A. Task List

Task #	CPR ¹	Task Name
1		General Project Tasks
2	X	LED Module Development
3		Flexible Light Guiding Substrate Development
4	X	Substrate Patterning for Light Extraction
5		Light Coupling Optics Development
6		System Integration
7		Evaluation of Project Benefits
8		Technology/Knowledge Transfer Activities
9		Production Readiness Plan

B. Acronym/Term List

Acronym/Term	Meaning
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CPR	Critical Project Review
LED	Light Emitting Diode
SSL	Solid State Lighting (employing LED or OLED sources)
TAC	Technical Advisory Committee

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

A. Purpose of Agreement

The purpose of this Agreement is to fund the development of a new platform technology for making ultra-thin and flexible light emitting diode (LED) lighting panels with innovative luminaire designs that will maximize energy efficiency and service life while reducing material costs.

B. Problem/ Solution Statement

Problem

Linear lighting fixtures employing fluorescent tubes still dominate the commercial building market and are also very common in the residential space. It is widely accepted that solid state lighting (SSL) provides a superior option for space illumination due to its greater energy efficiency, better light quality, lower maintenance requirements and are mercury-free. However, LED-based luminaires currently used to replace linear fluorescent lights are expensive. Furthermore, they often use the same outdated legacy forms and bulky designs of the incumbent fluorescent fixtures and thus fail to create a unique aesthetic appeal for the end-users. All this dramatically slows down the adoption of SSL technology and prevents realizing its full energy saving and technological potential.

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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Solution

The Recipient will develop a new lighting platform technology for making material-efficient and aesthetically pleasant wide-area LED lighting luminaires at a fraction of the cost of traditional fluorescent and LED fixtures. This lighting panel technology combines high-efficiency LEDs with a thin and flexible plastic sheet that redistributes light emitted by the LEDs without glare and without the need of complex and expensive luminaire structures.

The thin and flexible form of wide-area LED lighting panels provides unprecedented material efficiency, hence reducing the cost of the fixture, and enables a wide array of innovative luminaire designs. Furthermore, this technology features fewer optical losses compared to traditional wide-area luminaire designs and maximizes the energy saving benefit of SSL. We anticipate that these wide-area LED lighting panels could become the technology of choice for replacing linear fluorescent lights in commercial and residential buildings on a grand scale.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

- Develop first-of-a-kind thin and flexible LED lighting panels with sizes typical for linear fluorescent fixtures.
- Establish a new technology platform for making novel lighting luminaires at a fraction of the cost of traditional fixtures and with enhanced design aesthetics.
- Expedite the replacement of linear fluorescent fixtures with LED sources, with drop-in replacements, and stimulate a broader adoption of SSL technology.

Ratepayer Benefits:² This Agreement will result in the ratepayer benefit of lower electricity costs by providing a new kind of distributed light source that is 50 to 60 percent more energy efficient than the incumbent linear fluorescent lights it will replace. In addition, it will contribute to improving grid reliability by reducing peak demand and electric grid loads associated with lighting in buildings and to increase safety by eliminating the need of periodic discarding of mercury-containing fluorescent tubes and the associated risk of hazardous materials release into the environment.

Technological Advancement and Breakthroughs:³ This Agreement will lead to technological advancement and breakthroughs to overcome barriers to the achievement of the State of California's statutory energy goals by cutting the cost of replacing the fluorescent light fixtures with LED sources in commercial and residential sectors and lowering the barriers for transitioning to more energy-efficient and environmentally friendly lighting. It will also contribute to meeting the statewide goals of energy use reduction and Zero Net Energy buildings.

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

³ California Public Resources Code, Section 25711.5(a) also requires EPIC-funded projects to lead to technological advancement and breakthroughs to overcome barriers that prevent the achievement of the state's statutory and energy goals.

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Considering that the luminous efficacy of a typical commercial linear fluorescent fixture is around 60 lm/W, the targeted luminaire-level efficacies of up to 160 lm/W will provide a dramatic improvement in energy efficiency over the incumbent technology while totally eliminating glare and visual discomfort from lighting. The revolutionary thin and flexible design of the proposed light source will also overcome the limitations of traditional luminaires and provide more attractive design options and ease of installation.

Agreement Objectives

The objectives of this Agreement are to:

- Develop large-area, flexible LED lighting panels at custom sizes with better surface emission uniformity than standard linear fluorescent lights, and luminaire-level efficacy exceeding standard levels than standard linear fluorescent lights.
- Achieve record-low raw material parameters (excluding the LED driver) for wide-area lighting panels design.
- Develop and demonstrate high-performance prototypes of several full-size lighting luminaires based on new platform technology while providing the following design options: a) one-sided emission with highly diffuse hemispherical light distribution; b) two-sided diffuse emission with approximately 50/50 percent output distribution between the sides; and c) transparent appearance (when not illuminated) with two-sided emission (when illuminated).
- Perform testing of the prototype panels and assess the energy savings and market potential of wide-area LED lighting technology.

III. TASK 1 GENERAL PROJECT TASKS

PRODUCTS

Subtask 1.1 Products

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

The Recipient shall:

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

- Submit all draft products to the CAM for review and comment in accordance with the Project Schedule (Part V). The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt, unless otherwise specified in the task/subtask for which the product is required.
- Consider incorporating all CAM comments into the final product. If the Recipient disagrees with any comment, provide a written response explaining why the comment was not incorporated into the final product.

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- Submit the revised product and responses to comments within 10 days of notice by the CAM, unless the CAM specifies a longer time period, or approves a request for additional time.

For products that require a final version only

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

For all products

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

Instructions for Submitting Electronic Files and Developing Software:

○ **Electronic File Format**

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

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

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

○ **Software Application Development**

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

- Microsoft ASP.NET framework (version 3.5 and up). Recommend 4.0.
- Microsoft Internet Information Services (IIS), (version 6 and up) Recommend 7.5.
- Visual Studio.NET (version 2008 and up). Recommend 2010.
- C# Programming Language with Presentation (UI), Business Object and Data Layers.
- SQL (Structured Query Language).
- Microsoft SQL Server 2008, Stored Procedures. Recommend 2008 R2.
- Microsoft SQL Reporting Services. Recommend 2008 R2.
- XML (external interfaces).

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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 Energy Commission's Information Technology Services Branch to determine whether the exceptions are allowable.

MEETINGS

Subtask 1.2 Kick-off Meeting

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

The Recipient shall:

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

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

- Terms and conditions of the Agreement;
- Administrative products (subtask 1.1);
- CPR meetings (subtask 1.3);
- Match fund documentation (subtask 1.7);
- Permit documentation (subtask 1.8);
- Subcontracts (subtask 1.9); and
- Any other relevant topics.

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

- The CAM's expectations for accomplishing tasks described in the Scope of Work;
 - An updated Project Schedule;
 - Technical products (subtask 1.1);
 - Progress reports and invoices (subtask 1.5);
 - Final Report (subtask 1.6);
 - Technical Advisory Committee meetings (subtasks 1.10 and 1.11); and
 - Any other relevant topics.
- Provide an *Updated Project Schedule*, *List of Match Funds*, and *List of Permits*, as needed to reflect any changes in the documents.

The CAM shall:

- Designate the date and location of the meeting.
- Send the Recipient a *Kick-off Meeting Agenda*.

Recipient Products:

- Updated Project Schedule (*if applicable*)
- Updated List of Match Funds (*if applicable*)
- Updated List of Permits (*if applicable*)

EXHIBIT A Scope of Work

CAM Product:

- Kick-off Meeting Agenda

Subtask 1.3 Critical Project Review (CPR) Meetings

The goal of this subtask is to determine if the project should continue to receive Energy Commission funding, and if so whether any modifications must be made to the tasks, products, schedule, or budget. CPR meetings provide the opportunity for frank discussions between the Energy Commission and the Recipient. As determined by the CAM, discussions may include project status, challenges, successes, advisory group findings and recommendations, final report preparation, and progress on technical transfer and production readiness activities (if applicable). Participants will include the CAM and the Recipient, and may include the CAO and any other individuals selected by the CAM to provide support to the Energy Commission.

CPR meetings generally take place at key, predetermined points in the Agreement, as determined by the CAM and as shown in the Task List on page 1 of this Exhibit. However, the CAM may schedule additional CPR meetings as necessary. The budget will be reallocated to cover the additional costs borne by the Recipient, but the overall Agreement amount will not increase. CPR meetings generally take place at the Energy Commission, but they may take place at another location, or may be conducted via electronic conferencing (e.g., WebEx) as determined by the CAM.

The Recipient shall:

- Prepare a *CPR Report* for each CPR meeting that: (1) discusses the progress of the Agreement toward achieving its goals and objectives; and (2) includes recommendations and conclusions regarding continued work on the project.
- Submit the CPR Report along with any other *Task Products* that correspond to the technical task for which the CPR meeting is required (i.e., if a CPR meeting is required for Task 2, submit the Task 2 products along with the CPR Report).
- Attend the CPR meeting.
- Present the CPR Report and any other required information at each CPR meeting.

The CAM shall:

- Determine the location, date, and time of each CPR meeting with the Recipient's input.
- Send the Recipient a *CPR Agenda* and a *List of Expected CPR Participants* in advance of the CPR meeting. If applicable, the agenda will include a discussion of match funding and permits.
- Conduct and make a record of each CPR meeting. Provide the Recipient with a *Schedule for Providing a Progress Determination* on continuation of the project.
- Determine whether to continue the project, and if so whether modifications are needed to the tasks, schedule, products, or budget for the remainder of the Agreement. If the CAM concludes that satisfactory progress is not being made, this conclusion will be referred to the Deputy Director of the Energy Research and Development Division.
- Provide the Recipient with a *Progress Determination* on continuation of the project, in accordance with the schedule. The Progress Determination may include a requirement that the Recipient revise one or more products.

Recipient Products:

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

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CAM Products:

- CPR Agenda
- List of Expected CPR Participants
- Schedule for Providing a Progress Determination
- Progress Determination

Subtask 1.4 Final Meeting

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

The Recipient shall:

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

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

- The technical portion of the meeting will involve the presentation of findings, conclusions, and recommended next steps (if any) for the Agreement. The CAM will determine the appropriate meeting participants.
- The administrative portion of the meeting will involve a discussion with the CAM and the CAO of the following Agreement closeout items:
 - Disposition of any state-owned equipment.
 - Need to file a Uniform Commercial Code Financing Statement (Form UCC-1) regarding the Energy Commission's interest in patented technology.
 - The Energy Commission's request for specific "generated" data (not already provided in Agreement products).
 - Need to document the Recipient's disclosure of "subject inventions" developed under the Agreement.
 - "Surviving" Agreement provisions such as repayment provisions and confidential products.
 - Final invoicing and release of retention.
- Prepare a *Final Meeting Agreement Summary* that documents any agreement made between the Recipient and Commission staff during the meeting.
- Prepare a *Schedule for Completing Agreement Closeout Activities*.
- Provide *All Draft and Final Written Products* on a CD-ROM or USB memory stick, organized by the tasks in the Agreement.

Products:

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

REPORTS AND INVOICES

Subtask 1.5 Progress Reports and Invoices

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

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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
- Comments on Draft Final Report Outline
- Acceptance of Final Report Outline

Subtask 1.6.2 Final Report

The Recipient shall:

- Prepare a *Final Report* for this Agreement in accordance with the approved Final Report Outline, Style Manual, and Final Report Template provided by the CAM with the following considerations:
 - Ensure that the report includes the following items, in the following order:
 - Cover page (**required**)
 - Credits page on the reverse side of cover with legal disclaimer (**required**)
 - Acknowledgements page (optional)
 - Preface (**required**)
 - Abstract, keywords, and citation page (**required**)

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

Products:

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

CAM Product:

- Written Comments on the Draft Final Report

MATCH FUNDS, PERMITS, AND SUBCONTRACTS

Subtask 1.7 Match Funds

The goal of this subtask is to ensure that the Recipient obtains any match funds planned for this Agreement and applies them to the Agreement during the Agreement term.

While the costs to obtain and document match funds are not reimbursable under this Agreement, the Recipient may spend match funds for this task. The Recipient may only spend

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match funds during the Agreement term, either concurrently or prior to the use of Energy Commission funds. Match funds must be identified in writing, and the Recipient must obtain any associated commitments before incurring any costs for which the Recipient will request reimbursement.

The Recipient shall:

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

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

- A list of the match funds that identifies:
 - The amount of cash match funds, their source(s) (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied.
 - The amount of each in-kind contribution, a description of the contribution type (e.g., property, services), the documented market or book value, the source (including a contact name, address, and telephone number), and the task(s) to which the match funds will be applied. If the in-kind contribution is equipment or other tangible or real property, the Recipient must identify its owner and provide a contact name, address, telephone number, and the address where the property is located.
 - 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.

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The Recipient shall:

- Prepare a *Permit Status Letter* that documents the permits required to conduct this Agreement. If no permits are required at the start of this Agreement, then state this in the letter. If permits will be required during the course of the Agreement, provide in the letter:
 - A list of the permits that identifies: (1) the type of permit; and (2) the name, address, and telephone number of the permitting jurisdictions or lead agencies.
 - The schedule the Recipient will follow in applying for and obtaining the permits.

The list of permits and the schedule for obtaining them will be discussed at the Kick-off meeting (subtask 1.2), and a timetable for submitting the updated list, schedule, and copies of the permits will be developed. The impact on the project if the permits are not obtained in a timely fashion or are denied will also be discussed. If applicable, permits will be included as a line item in progress reports and will be a topic at CPR meetings.

- If during the course of the Agreement additional permits become necessary, then provide the CAM with an *Updated List of Permits* (including the appropriate information on each permit) and an *Updated Schedule for Acquiring Permits*.
- Send the CAM a *Copy of Each Approved Permit*.
- If during the course of the Agreement permits are not obtained on time or are denied, notify the CAM within 5 days. Either of these events may trigger a CPR meeting.

Products:

- Permit Status Letter
- Updated List of Permits (*if applicable*)
- Updated Schedule for Acquiring Permits (*if applicable*)
- Copy of Each Approved Permit (*if applicable*)

Subtask 1.9 Subcontracts

The goals of this subtask are to: (1) procure subcontracts required to carry out the tasks under this Agreement; and (2) ensure that the subcontracts are consistent with the terms and conditions of this Agreement.

The Recipient shall:

- Manage and coordinate subcontractor activities in accordance with the requirements of this Agreement.
- Incorporate this Agreement by reference into each subcontract.
- Include any required Energy Commission flow-down provisions in each subcontract, in addition to a statement that the terms of this Agreement will prevail if they conflict with the subcontract terms.
- If required by the CAM, submit a draft of each *Subcontract* required to conduct the work under this Agreement.
- Submit a final copy of the executed subcontract.
- Notify and receive written approval from the CAM prior to adding any new subcontractors (see the discussion of subcontractor additions in the terms and conditions).

Products:

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

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TECHNICAL ADVISORY COMMITTEE

Subtask 1.10 Technical Advisory Committee (TAC)

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

- Provide guidance in project direction. The guidance may include scope and methodologies, timing, and coordination with other projects. The guidance may be based on:
 - Technical area expertise;
 - Knowledge of market applications; or
 - Linkages between the agreement work and other past, present, or future projects (both public and private sectors) that TAC members are aware of in a particular area.
- Review products and provide recommendations for needed product adjustments, refinements, or enhancements.
- Evaluate the tangible benefits of the project to the state of California, and provide recommendations as needed to enhance the benefits.
- Provide recommendations regarding information dissemination, market pathways, or commercialization strategies relevant to the project products.

The TAC may be composed of qualified professionals spanning the following types of disciplines:

- Researchers knowledgeable about the project subject matter;
- Members of trades that will apply the results of the project (e.g., designers, engineers, architects, contractors, and trade representatives);
- Public interest market transformation implementers;
- Product developers relevant to the project;
- U.S. Department of Energy research managers, or experts from other federal or state agencies relevant to the project;
- Public interest environmental groups;
- Utility representatives;
- Air district staff; and
- Members of relevant technical society committees.

The Recipient shall:

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

EXHIBIT A Scope of Work

Products:

- List of Potential TAC Members
- List of TAC Members
- Documentation of TAC Member Commitment

Subtask 1.11 TAC Meetings

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

The Recipient shall:

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

Products:

- TAC Meeting Schedule (draft and final)
- TAC Meeting Agendas (draft and final)
- TAC Meeting Back-up Materials
- TAC Meeting Summaries

IV. TECHNICAL TASKS

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

TASK 2: LED MODULE DEVELOPMENT

The goal of this task is to develop high-performance integrated LED strip modules that are optimally designed for an ultra-thin and flexible LED lighting panel that will provide sufficient light output for making flexible lighting panels in sizes typical for commercial fluorescent troffers.

The Recipient shall:

- Enhance the overall wide-area LED lighting design.
 - Review the baseline sub-scale LED lighting designs and prototype LED components previously developed.
 - Determine critical parameters that constrain the size and performance of wide-area LED panels.

EXHIBIT A

Scope of Work

- Work with project partners, prioritize the design improvements according to the cost and complexity to performance ratios.
- Rework the principal structure of the panel to enable very large light emitting areas and customization of the length and width.
- Determine optimal design improvement strategies and methods for minimizing light spillage when coupling LEDs to the flexible light guide.
- Conduct ray tracing experiments and validate the selected design improvement strategies.
- Produce *LED Lighting Design Factors Report* that is to be at least three pages and is to include, but is not limited to, details of findings for design constraints, parameters, cost to performance ratios, physical design, and improvement strategies.
- Select high-efficacy LED packages based on the determined design priorities and commercial availability from leading LED manufacturers.
- Design linear LED modules on a narrow-strip printed circuit board with light output and color correlated temperature being in the acceptable levels of commercial linear light fixtures.
- Fabricate a demonstrative lighting design with LED strip modules and test their electrical and photometric characteristics.
- Refine LED module design parameters and optimize the module for maximum efficacy and heat dissipation.
- Fabricate a demonstrative lighting design LED strip module with improved electrical, thermal and photometric characteristics.
- Prepare *LED Module Specifications Report* that is to be at least three pages and is to include, but is not limited to, details that describe and compare the design and test results (system cost, brightness, lifespan, total light output, power consumption and luminaire level efficiency) of the developed demonstrative linear LED modules to the standard linear fluorescent lighting.
- Prepare a *CPR Report* in accordance with subtask 1.3 (CPR Meetings) that discusses the progress of the Agreement toward achieving its goals and objectives, including recommendations and conclusions regarding continued work on the project.
- Participate in CPR meeting #1.

Products:

- LED Lighting Design Factors Report
- LED Module Specifications Report
- CPR Report #1

TASK 3: FLEXIBLE LIGHT GUIDING SUBSTRATE DEVELOPMENT

The goal of this task is to develop thin and flexible plastic substrates suitable for distributing light emitted from the LED strips over wide area panels and creating a distributed surface-emitting light source.

The Recipient shall:

- Identify preferred plastic film materials for the flexible light guiding substrate based on commercial availability and meeting the established industry performance goals.
- Determine several candidate materials based on manufacturers' specifications and mechanical, thermal and optical characteristics.

EXHIBIT A

Scope of Work

- Conduct flexibility and optical transmittance and haze tests for the candidate materials and finally, choose the material for the flexible substrate based on optimal cost to performance ratio.
- Develop strategies for patterning large-area flexible substrates for uniform emission and maximizing light extraction efficiency and determine patterning compatibility with the selected material.
- Determine manufacturing steps necessary for preparing the substrates for light extraction patterning, including pre- and post-processing requirements.
- Establish pilot manufacturing of patterning-ready flexible substrates having sizes suitable for making luminaires at custom sizes.
- Prepare a *Flexible Light Guiding Substrate Development Report* that should be at least four pages and is to include, but is not limited to, details that describe and compare the developed light guiding substrate(s) and test results (cost/performance ratio and pattern design versus light extraction efficiency) and how they relate to the established industry performance goals.

Products:

- Flexible Light Guiding Substrate Development Report

TASK 4: SUBSTRATE PATTERNING FOR LIGHT EXTRACTION

The goal of this task is to develop an efficient and robust patterning technique for the flexible plastic substrates to maximize the light extraction efficiency and achieve light emitting surface brightness uniformity and light extraction efficiency above the average standard.

The Recipient shall:

- Determine and refine the technology for surface patterning based on the evaluation of previously built smaller-scale prototypes and in light of the newly developed light extraction strategies.
- Develop a realistic optical model of the patterned light guide.
- Develop an advanced optical model of individual light extraction features and incorporate it into the overall optical model of the patterned light guide.
- Using optical modeling and ray tracing, design a sufficient number of experimental light extraction patterns for comprehensively testing and validating the model.
- Iteratively design and fabricate a series of large-area prototypes of the patterned substrate based on the developed optical models.
- Assemble a test bench for assessing the performance and luminance uniformity of experimental light guides.
- Validate the optical models by measuring surface luminance at different distances from the light input edge and minimize the discrepancy between the models and experiment.
- Establish pilot manufacturing of patterned flexible substrates having a patterned area at a set custom size.
- Fabricate a representative set of full-size functional flexible light guides for the subsequent integration into the ultra-thin flexible LED lighting panels.
- Evaluate selected prototypes using visual observation and microscopy.
- Evaluate the prototypes in a LED-illuminated state using high dynamic range photography and surface luminance measurements with a calibrated luminance meter.
- Demonstrate brightness uniformity of above standard expectation.

EXHIBIT A

Scope of Work

- Demonstrate that the selected light extraction patterning can extract above standard expectation of light trapped in the light guiding substrate.
- Prepare a *Substrate Patterning Report* that should be at least four pages and is to include, but is not limited to, details that describes and compares the patterning technique and test results (custom size, brightness uniformity and light extraction) and how they compare to the standard expectation.
- Prepare a *CPR Report* in accordance with subtask 1.3 (CPR Meetings) that discusses the progress of the Agreement toward achieving its goals and objectives, including recommendations and conclusions regarding continued work on the project.
- Participate in CPR meeting #2.

Products:

- Substrate Patterning Report
- CPR Report #2

TASK 5: LIGHT COUPLING OPTICS DEVELOPMENT

The goal of this task is to develop optical couplers that will minimize optical losses for coupling high-brightness LEDs to thin and flexible light guiding substrates which thickness is less than the size of the respective LED packages.

The Recipient shall:

- Analyze the design and performance of earlier-generation optical couplers developed through earlier proof-of-concept research. Identify pathways for further improving their optical design and light coupling efficiency.
- Select preferred materials for making the optical couplers.
- Optimize the design of optical couplers using ray tracing and iterative model optimization.
- Investigate further improvements of light coupling efficiency using refractive index matching.
- Conduct design tolerance analysis including dimensional errors of light couplers and LED positioning errors.
- Establish pilot manufacturing of optical couplers designed for LED custom size.
- Test optical couplers and assess the light coupling efficiency.
- Demonstrate LED coupling to flexible substrate using optimized light couplers that reduce optical losses by a considerable percentage compared to the case when no couplers are used.
- Prepare a *Light Coupling Optics Development Report* that should be at least four pages and is to include, but is not limited to, details that describes the design and compares the test results of the developed linear optical couplers.

Products:

- Light Coupling Optics Development Report

TASK 6: SYSTEM INTEGRATION

The goal of this task is to design and fabricate commercial-size, fully functional ultra-thin and flexible LED lighting panel prototypes as well as assess their performance, addressing system-level optimization, electrical, thermal management, structural and installation issues. The

EXHIBIT A Scope of Work

primary focus will be on demonstrating ultra-thin, flexible LED lighting panels that could be used for replacing the most prevalent types of linear fluorescent light fixtures, at custom and standard sizes, and surface-mount troffers.

The Recipient shall:

- Select off-the-shelf dimmable LED drivers suitable for powering the developed LED modules, with the emphasis on cost effectiveness, compactness, conformance to the current safety and performance regulations, and compatibility with intelligent light controls.
- Design a full-scale demonstrational ultra-thin, flexible LED lighting panel using the components developed in the previous tasks.
- Optimize the ultra-thin, flexible LED lighting structure and further minimize weight and raw materials intake via a frameless design.
- Create and validate a solid model of the developed design.
- Design and fabricate structural components and low-profile LED enclosures with the emphasis on providing sufficient heat dissipation and reduced manufacturing cost.
- Assemble and test the flexible LED lighting panel prototype for different lighting fixture sizes (should test at least four sizes).
- Address potential mass manufacturing issues, which may include, but is not limited to the following: quality control, performance tests, certification tests, manufacturing duration, etcetera.
- Develop cost-effective installation strategies including simple retrofit applications of conventional fluorescent and LED troffers.
- Develop cost-effective strategies for integrating flexible LED lighting panels into connected lighting systems.
- Prepare a *System Integration Report* that should be at least four pages and is to include, but is not limited to, details that describes and compares the design and test results (cost, luminaire-level efficacy, surface luminance, surface emission uniformity, color rendering index, drop-in replacement costs, integration costs, and mass manufacturing issues with associated solutions) of each developed large-area custom LED lighting panels.

Products:

- System Integration Report

TASK 7: EVALUATION OF PROJECT BENEFITS

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

The Recipient shall:

- Complete three Project Benefits Questionnaires that correspond to three main intervals in the Agreement: (1) *Kick-off Meeting Benefits Questionnaire*; (2) *Mid-term Benefits Questionnaire*; and (3) *Final Meeting Benefits Questionnaire*.
- Provide all key assumptions used to estimate projected benefits, including targeted market sector (e.g., population and geographic location), projected market penetration, baseline and projected energy use and cost, operating conditions, and emission reduction calculations. Examples of information that may be requested in the questionnaires include:

EXHIBIT A

Scope of Work

- For Product Development Projects and Project Demonstrations:
 - Published documents, including date, title, and periodical name.
 - Estimated or actual energy and cost savings, and estimated statewide energy savings once market potential has been realized. Identify all assumptions used in the estimates.
 - Greenhouse gas and criteria emissions reductions.
 - Other non-energy benefits such as reliability, public safety, lower operational cost, environmental improvement, indoor environmental quality, and societal benefits.
 - Data on potential job creation, market potential, economic development, and increased state revenue as a result of the project.
 - A discussion of project product downloads from websites, and publications in technical journals.
 - A comparison of project expectations and performance. Discuss whether the goals and objectives of the Agreement have been met and what improvements are needed, if any.
 - Additional Information for Product Development Projects:
 - Outcome of product development efforts, such copyrights and license agreements.
 - Units sold or projected to be sold in California and outside of California.
 - Total annual sales or projected annual sales (in dollars) of products developed under the Agreement.
 - Investment dollars/follow-on private funding as a result of Energy Commission funding.
 - Patent numbers and applications, along with dates and brief descriptions.
 - Additional Information for Product Demonstrations:
 - Outcome of demonstrations and status of technology.
 - Number of similar installations.
 - Jobs created/retained as a result of the Agreement.
- For Information/Tools and Other Research Studies:
 - Outcome of project.
 - Published documents, including date, title, and periodical name.
 - A discussion of policy development. State if the project has been cited in government policy publications or technical journals, or has been used to inform regulatory bodies.
 - The number of website downloads.
 - An estimate of how the project information has affected energy use and cost, or have resulted in other non-energy benefits.
 - An estimate of energy and non-energy benefits.
 - Data on potential job creation, market potential, economic development, and increased state revenue as a result of project.
 - A discussion of project product downloads from websites, and publications in technical journals.
 - A comparison of project expectations and performance. Discuss whether the goals and objectives of the Agreement have been met and what improvements are needed, if any.
- Respond to CAM questions regarding responses to the questionnaires.

EXHIBIT A

Scope of Work

The Energy Commission may send the Recipient similar questionnaires after the Agreement term ends. Responses to these questionnaires will be voluntary.

Products:

- Kick-off Meeting Benefits Questionnaire
- Mid-term Benefits Questionnaire
- Final Meeting Benefits Questionnaire

TASK 8: TECHNOLOGY/KNOWLEDGE TRANSFER ACTIVITIES

The goal of this task is to develop a plan to make the knowledge gained, experimental results, and lessons learned available to the public and key decision makers.

The Recipient shall:

- Prepare an *Initial Fact Sheet* at start of the project that describes the project. Use the format provided by the CAM.
- Prepare a *Final Project Fact Sheet* at the project's conclusion that discusses results. Use the format provided by the CAM.
- Prepare a *Technology/Knowledge Transfer Plan* that includes:
 - 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(s) on the project.
- When directed by the CAM, participate in annual EPIC symposium(s) sponsored by the California Energy Commission.
- Provide at least (6) six *High Quality Digital Photographs* (minimum resolution of 1300x500 pixels in landscape ratio) of pre and post technology installation at the project sites or related project photographs.
- Prepare a *Technology/Knowledge Transfer Report* on technology transfer activities conducted during the project.

Products:

- Initial Fact Sheet (draft and final)
- Final Project Fact Sheet (draft and final)
- Presentation Materials (draft and final)

EXHIBIT A

Scope of Work

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

TASK 9: PRODUCTION READINESS PLAN

The goal of this task is to determine the steps that will lead to the manufacturing of technologies developed in this project or to the commercialization of the project's results.

The Recipient shall:

- Prepare a *Production Readiness Plan*. The degree of detail in the plan should be proportional to the complexity of producing or commercializing the proposed product, and to its state of development. As appropriate, the plan will discuss the following:
 - Critical production processes, equipment, facilities, personnel resources, and support systems needed to produce a commercially viable product.
 - Internal manufacturing facilities, supplier technologies, capacity constraints imposed by the design under consideration, design-critical elements, and the use of hazardous or non-recyclable materials. The product manufacturing effort may include "proof of production processes."
 - The estimated cost of production.
 - The expected investment threshold needed to launch the commercial product.
 - An implementation plan to ramp up to full production.
 - The outcome of product development efforts, such as copyrights and license agreements.
 - Patent numbers and applications, along with dates and brief descriptions.
 - Other areas as determined by the CAM.

Products:

- Production Readiness Plan (draft and final)

V. PROJECT SCHEDULE

Please see the attached Excel spreadsheet.

STATE OF CALIFORNIA

STATE ENERGY RESOURCES
CONSERVATION AND DEVELOPMENT COMMISSION

RESOLUTION - RE: LUCENT OPTICS, INC.

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-18-003 with Lucent Optics, Inc. for a \$1,692,069 grant to develop a new lighting platform technology for making material-efficient and aesthetically pleasant wide-area LED lighting luminaires at a fraction of the cost of traditional fluorescent and LED fixtures. This lighting panel technology combines high-efficiency LEDs with a thin and flexible plastic sheet that redistributes light emitted by the LEDs without glare and without the need of complex and expensive luminaire structures; 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 January 9, 2019.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Cody Goldthrite,
Secretariat