

GRANT REQUEST FORM (GRF)CEC-270 (Revised 10/2015)
COMMISSION

CALIFORNIA ENERGY

New Agreement EPC-18-020 (To be completed by CGL Office)

Division	Agreement Manager:	MS-	Phone
ERDD	Michael Ferreira	51	916-445-5281

Recipient's Legal Name	Federal ID Number
Glint Photonics, Inc.	27-3734209

Title of Project
Production Scale-Up of High Efficiency Adjustable Lighting Products

Term and Amount	Start Date	End Date	Amount
	6/28/2019	3/29/2024	\$ 1,998,922

Business Meeting Information			
<input type="checkbox"/> ARFVTP agreements under \$75K delegated to Executive Director.			
Proposed Business Meeting Date	6/12/2019	<input type="checkbox"/> Consent	<input checked="" type="checkbox"/> Discussion
Business Meeting Presenter	Benson Gilbert	Time Needed:	5 minutes
Please select one list serve. EPIC (Electric Program Investment Charge)			

Agenda Item Subject and Description
GLINT PHOTONICS, INC. Proposed resolution approving Agreement EPC-18-020 with Glint Photonics, Inc. for a \$1,998,922 grant to develop a pilot line for high-efficiency adjustable lighting products that have measured useful lumen/watt improvement compared to state-of-the-art luminaires, and adopting staff's determination that this action is exempt from CEQA. (EPIC Funding) Contact: Benson Gilbert. (Staff presentation: 5 minutes)

California Environmental Quality Act (CEQA) Compliance
<p>1. Is Agreement considered a "Project" under CEQA?</p> <p><input checked="" type="checkbox"/> Yes (skip to question 2) <input type="checkbox"/> No (complete the following (PRC 21065 and 14 CCR 15378)):</p> <p>Explain why Agreement is not considered a "Project":</p> <p>Agreement will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because</p>
<p>2. If Agreement is considered a "Project" under CEQA:</p> <p><input checked="" type="checkbox"/> a) Agreement IS exempt. (Attach draft NOE)</p> <p><input type="checkbox"/> Statutory Exemption. List PRC and/or CCR section number: _____</p> <p><input checked="" type="checkbox"/> Categorical Exemption. List CCR section number: <u>Cal. Code Regs., tit 14, § 15301</u></p> <p><input type="checkbox"/> Common Sense Exemption. 14 CCR 15061 (b) (3)</p> <p>Explain reason why Agreement is exempt under the above section:</p> <p>For Cal. Code Regs. (CCR), Title 14, Section 15301: This project will involve the operation, maintenance, and minor alteration of existing laboratory and manufacturing facilities to manufacture and test lighting products. Manufacturing activities consist of establishing a pilot assembly line for lighting fixtures. The tests that will be performed are temporary in nature and will require only minor alterations to existing structures. Work under this project will result in negligible or no expansion of the existing use of facilities at which the testing and manufacturing will occur. This project will result in no significant impact to the environment and is exempt pursuant to CCR, 14 § 15301.</p>
<p><input type="checkbox"/> b) Agreement IS NOT exempt. (Consult with the legal office to determine next steps.)</p> <p>Check all that apply</p> <p><input type="checkbox"/> Initial Study <input type="checkbox"/> Environmental Impact Report</p> <p><input type="checkbox"/> Negative Declaration <input type="checkbox"/> Statement of Overriding Considerations</p> <p><input type="checkbox"/> Mitigated Negative Declaration</p>

List all subcontractors (major and minor) and equipment vendors: (attach additional sheets as necessary)	
Legal Company Name:	Budget
Whipsaw, Inc.	\$ 75,000
TBD Contract Manufacturer	\$ 90,000
	\$
	\$

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COMMISSION

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**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	18-19	301.001F	\$1,998,922
			\$
			\$
R&D Program Area: EDMFO: EDMF		TOTAL:	\$1,998,922
Explanation for "Other" selection			
Reimbursement Contract #:		Federal Agreement #:	

Recipient's Administrator/ Officer

Name:	Peter Kozodoy	Name:	Peter Kozodoy
Address:	1520 Gilbreth Rd	Address:	1520 Gilbreth Rd
City, State, Zip:	Burlingame, CA 94010-1605	City, State, Zip:	Burlingame, CA 94010-1605
Phone:	650-646-4192 /	Fax:	- -
E-Mail:	peter@glintphotonics.com	E-Mail:	peter@glintphotonics.com

Recipient's Project Manager**Selection Process Used**

- ☒ Competitive Solicitation Solicitation #: GFO-18-302
☐ 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

EXHIBIT A

Scope of Work

I. TASK ACRONYM/TERM LISTS

A. Task List

Task #	CPR¹	Task Name
1		General Project Tasks
2	X	Production Scale-Up
3		Evaluation of Project Benefits
4		Technology/Knowledge Transfer Activities
5		Production Readiness Plan

B. Acronym/Term List

Acronym/Term	Meaning
BOM	Bill of Materials
CAM	Commission Agreement Manager
CAO	Commission Agreement Officer
CM	Contract Manufacturing
CPR	Critical Project Review
U.S. DOE	United States Department of Energy
FMEA	Failure Mode Effect Analysis
IOU	Investor Owned Utility
NRTL	Nationally Recognized Testing Laboratory
SPC	Statistical Process Control
TAC	Technical Advisory Committee
TWh	Terawatt Hour
UL	Underwriters Laboratory

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 scalable pilot manufacturing line for Recipient's revolutionary lighting technology platform that consists of high-efficiency adjustable lighting technology products that have measured useful lumens/watt improvement compared to state-of-the-art luminaires. This effort will speed market adoption of the platform product and enable rapid proliferation of Recipient's entire family of lighting technology products, which will improve light utilization efficiency, reduce lifecycle costs, and improve well-being. The project will involve refining the product design for production and manufacturability, development

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

EXHIBIT A

Scope of Work

of quality manufacturing processes and the establishment and certification of a pilot line production line.

B. Problem/ Solution Statement

Problem

Forty-one Terrawatt hours (TWh) of electricity is used annually on lighting in California Investor Owned Utility (IOU) service territories, and yet the majority of the generated light is wasted. Spaces are typically over lit in order to achieve required light levels in all areas. Many new luminaires have high nameplate efficiencies, but much of the generated light is not useful, or becomes unwanted glare. Wasted light is wasted energy, no matter how efficient the luminaire is. The United States Department of Energy (U.S. DOE) estimates that two to three times efficiency improvements are possible through improved light utilization, which represents an enormous potential energy savings. What is needed is a low-cost and reliable ecosystem of lighting solutions that can precisely and efficiently control the light distribution in a space.

Solution

The Recipient is developing a full suite of new lighting technology products that provide improved control over the angular and spatial distribution of light. The lighting platform has been measured to achieve 50 percent greater light utilization efficiency than state-of-the-art directional luminaires. The Recipient's luminaires use a novel optical system that is uniquely suited for low-cost, high-reliability control over light. The luminaires are small, powerful, and can be seamlessly integrated into a wide variety of spaces with complex lighting requirements. These luminaires also dramatically reduce glare to improve visual comfort.

Recipient's luminaire product family will enable dramatic energy savings, as well as increased quality of lighting through improved light utilization. Recipient is planning to introduce motorized versions of the lighting platform that are capable of dynamically adjusting the light to further improve light utilization. This system features sophisticated control software that enables automated scene changes and spatial light control across large areas.

C. Goals and Objectives of the Agreement

Agreement Goals

The goals of this Agreement are to:

- Speed adoption of Recipient's lighting technology with agile, efficient, scalable manufacturing processes.
- Scale-up Recipient's lighting technology from prototype to pilot production.
- Reduce the cost and complexity of configurable lighting systems.
- Improve user experience and safety in lit spaces.
- Enable greater market penetration of solid-state lighting.
- Meet California's lighting energy use goals.

Ratepayer Benefits:² This Agreement will result in the ratepayer benefits of lower costs and increased safety. Lower costs will be realized as a result of reduced electricity use in lighting that

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

EXHIBIT A

Scope of Work

operates at higher utilization efficiency. Up to 10.2 TWh of annual electricity use can be saved in California IOU service territories through the use of Recipient's lighting technology. Improved safety is a result of better lighting distributions that can minimize hazards, and eventually eliminate the need to use ladders or cherry pickers to re-aim ceiling-mounted lights.

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 enabling the rapid deployment of a whole suite of innovative lighting technology products focused on utilization efficiency. These luminaires can achieve more than 1.5 times greater improvement in light utilization efficiency, with widespread deployment saving up to 10.2 TWh annually. The valuable new functionality of the luminaires will also help accelerate conversion to light emitting diode lighting, bringing additional near-term energy savings.

Agreement Objectives

The objectives of this Agreement are to:

- Prepare Recipient's luminaires for production scale-up through design for manufacturing/assembly.
- Establish the processes, tools, and team required for effective pilot line production.
- Develop strategic supplier relationships to reduce cost, increase quality, and reduce lead-times.
- Develop and establish a robust supply chain model to meet delivery reliability targets
- Build an agile and capable pilot line quickly and efficiently by working with a manufacturing partner, thus also ensuring smooth future scaling of volume.

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:

increased safety (See CPUC “Phase 2” Decision 12-05-037 at page 19, May 24, 2012, http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF).

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

EXHIBIT A

Scope of Work

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

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

For products that require a final version only

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

For all products

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

Instructions for Submitting Electronic Files and Developing Software:

- **Electronic File Format**

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

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

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

- **Software Application Development**

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

- Microsoft ASP.NET framework (version 3.5 and up). Recommend 4.0.
- Microsoft Internet Information Services (IIS), (version 6 and up)

EXHIBIT A

Scope of Work

Recommend 7.5.

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

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

MEETINGS

Subtask 1.2 Kick-off Meeting

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

The Recipient shall:

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

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

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

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

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

EXHIBIT A

Scope of Work

The CAM shall:

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

Recipient Products:

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

CAM Product:

- Kick-off Meeting Agenda

Subtask 1.3 Critical Project Review (CPR) Meetings

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

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

The Recipient shall:

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

The CAM shall:

- Determine the location, date, and time of each CPR meeting with the Recipient's input.
- Send the Recipient a *CPR Agenda* and a *List of Expected CPR Participants* in advance of the CPR meeting. If applicable, the agenda will include a discussion of match funding and permits.
- Conduct and make a record of each CPR meeting. Provide the Recipient with a *Schedule for Providing a Progress Determination* on continuation of the project.

EXHIBIT A

Scope of Work

- Determine whether to continue the project, and if so whether modifications are needed to the tasks, schedule, products, or budget for the remainder of the Agreement. If the CAM concludes that satisfactory progress is not being made, this conclusion will be referred to the Deputy Director of the Energy Research and Development Division.
- Provide the Recipient with a *Progress Determination* on continuation of the project, in accordance with the schedule. The Progress Determination may include a requirement that the Recipient revise one or more products.

Recipient Products:

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

CAM Products:

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

Subtask 1.4 Final Meeting

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

The Recipient shall:

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

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

- The technical portion of the meeting will involve the presentation of findings, conclusions, and recommended next steps (if any) for the Agreement. The CAM will determine the appropriate meeting participants.
- The administrative portion of the meeting will involve a discussion with the CAM and the CAO of the following Agreement closeout items:
 - Disposition of any state-owned equipment.
 - Need to file a Uniform Commercial Code Financing Statement (Form UCC-1) regarding the Energy Commission's interest in patented technology.
 - The Energy Commission's request for specific "generated" data (not already provided in Agreement products).
 - Need to document the Recipient's disclosure of "subject inventions" developed under the Agreement.
 - "Surviving" Agreement provisions such as repayment provisions and confidential products.
 - Final invoicing and release of retention.

EXHIBIT A

Scope of Work

- Prepare a *Final Meeting Agreement Summary* that documents any agreement made between the Recipient and Commission staff during the meeting.
- Prepare a *Schedule for Completing Agreement Closeout Activities*.
- Provide *All Draft and Final Written Products* on a CD-ROM or USB memory stick, organized by the tasks in the Agreement.

Products:

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

REPORTS AND INVOICES

Subtask 1.5 Progress Reports and Invoices

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

The Recipient shall:

- Submit a monthly *Progress Report* to the CAM. Each progress report must:
 - Summarize 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)

EXHIBIT A

Scope of Work

CAM Product:

- Style Manual
- Comments on Draft Final Report Outline
- Approval of Final Report Outline

Subtask 1.6.2 Final Report

The Recipient shall:

- Prepare a *Final Report* for this Agreement in accordance with the approved Final Report Outline, Style Manual, and Final Report Template provided by the CAM with the following considerations:
 - Ensure that the report includes the following items, in the following order:
 - Cover page (**required**)
 - Credits page on the reverse side of cover with legal disclaimer (**required**)
 - Acknowledgements page (optional)
 - Preface (**required**)
 - Abstract, keywords, and citation page (**required**)
 - Table of Contents (**required**, followed by List of Figures and List of Tables, if needed)
 - Executive summary (**required**)
 - Body of the report (**required**)
 - References (if applicable)
 - Glossary/Acronyms (If more than 10 acronyms or abbreviations are used, it is required.)
 - Bibliography (if applicable)
 - Appendices (if applicable) (Create a separate volume if very large.)
 - Attachments (if applicable)
 - Ensure that the document is written in the third person.
 - Ensure that the Executive Summary is understandable to the lay public.
 - Briefly summarize the completed work. Succinctly describe the project results and whether or not the project goals were accomplished.
 - Identify which specific ratepayers can benefit from the project results and how they can achieve the benefits.
 - If it's necessary to use a technical term in the Executive Summary, provide a brief definition or explanation when the technical term is first used.
 - Follow the Style Guide format requirements for headings, figures/tables, citations, and acronyms/abbreviations.
 - Ensure that the document omits subjective comments and opinions. However, recommendations in the conclusion of the report are allowed.
 - Include a brief description of the project results in the Abstract.
- Submit a draft of the report to the CAM for review and comment. The CAM will provide written comments to the Recipient on the draft product within 15 days of receipt
- Consider incorporating all CAM comments into the Final Report. If the Recipient disagrees with any comment, provide a written response explaining why the comment was not incorporated into the final product
- Submit the revised Final Report and responses to comments within 10 days of notice by

EXHIBIT A

Scope of Work

the CAM, unless the CAM specifies a longer time period or approves a request for additional time.

- Submit one bound copy of the *Final Report* to the CAM along with *Written Responses to Comments on the Draft Final Report*.

Products:

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

CAM Product:

- Written Comments on the Draft Final Report

MATCH FUNDS, PERMITS, AND SUBCONTRACTS

Subtask 1.7 Match Funds

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

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

The Recipient shall:

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

EXHIBIT A

Scope of Work

- Provide a *Supplemental Match Funds Notification Letter* to the CAM of receipt of additional match funds.
- Provide a *Match Funds Reduction Notification Letter* to the CAM if existing match funds are reduced during the course of the Agreement. Reduction of match funds may trigger a CPR meeting.

Products:

- Match Funds Status Letter
- Supplemental Match Funds Notification Letter *(if applicable)*
- Match Funds Reduction Notification Letter *(if applicable)*

Subtask 1.8 Permits

The goal of this subtask is to obtain all permits required for work completed under this Agreement in advance of the date they are needed to keep the Agreement schedule on track. Permit costs and the expenses associated with obtaining permits are not reimbursable under this Agreement, with the exception of costs incurred by University of California recipients. Permits must be identified and obtained before the Recipient may incur any costs related to the use of the permit(s) for which the Recipient will request reimbursement.

The Recipient shall:

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

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

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

Products:

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

Subtask 1.9 Subcontracts

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

EXHIBIT A

Scope of Work

of this Agreement.

The Recipient shall:

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

Products:

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

TECHNICAL ADVISORY COMMITTEE

Subtask 1.10 Technical Advisory Committee (TAC)

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

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

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

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

EXHIBIT A

Scope of Work

- Utility representatives;
- Air district staff; and
- Members of relevant technical society committees.

The Recipient shall:

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

Products:

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

Subtask 1.11 TAC Meetings

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

The Recipient shall:

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

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.

EXHIBIT A

Scope of Work

- Ask probing questions that insure a long-term perspective on decision-making and progress toward the project's strategic goals.

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: PRODUCTION SCALE UP

The goal of this task is to speed adoption of Recipient's revolutionary high-efficiency adjustable lighting technology products through the development of an agile, efficient, and scalable manufacturing process.

Subtask 2.1 Commercial Product Design and Certification

The goal of this subtask is to refine the high-efficiency adjustable lighting product design, assembly processes, and supplier relationships required for Recipient's lighting technology products to improve manufacturability, ensure quality, achieve certification, and reduce production cost.

The Recipient shall:

- Refine the existing product design to improve manufacturing and quality, achieve certification, and implement production cost reductions including:
 - Establishing robust risk assessment practices through failure mode and effect analysis (FMEA).
 - Conducting detailed tolerance stack-up analysis to identify key tolerances in system.
 - Designing for manufacturing activities to remove cost and complexity from manufactured components in the system.
 - Designing for assembly activities to reduce part count, reduce assembly time, and prevent assembly errors with assembly-error proof design methodology, also known as poka yoke design methods.

This design is not considered data, a product, intellectual property, or anything else under this Agreement to which the Energy Commission has any rights (e.g., access, possession, a license, etc.). This design is included in this Scope of Work to ensure the Recipient conducts this work, but the Commission does not have any rights to the design in order to ensure that third-parties, such as competitors, cannot use this Agreement to gain access to it, such as through the Public Records Act, and potentially harm Recipient's ability to commercialize the technology described in this Agreement.

EXHIBIT A

Scope of Work

- Prepare a *Product Design Report* that includes but is not limited to the following:
 - The external form and design of the product based on the properties described above;
 - The manufacturing methods used to create the product;
 - Adherence of sample builds to technical specifications; and
 - Number of remaining FMEA risks with high (>100) risk priority number.
- Engage in supplier development to resolve engineering issues, maximize cost-effectiveness, ensure quality, and improve supply chain including:
 - Expanding potential suppliers list through search and references.
 - Ordering samples from suppliers and measure to assess suitability.
 - Pursuing joint engineering development to ensure components meet cost and performance targets.
 - Aligning component specifications with supplier capabilities.
 - Implementing statistically capable manufacturing process at the supplier
 - Visiting suppliers, if necessary, to facilitate joint engineering or audit operational processes.
 - Down-selecting to preferred suppliers based on technical and business factors.
 - Determining ratio of bill of materials (BOM) costs to target costs based on supplier development efforts.
 - Comparing between supplier process control statistics and internal targets.
- Prepare a *Supplier Development Report* including but not limited to the following:
 - Key supplier capabilities;
 - Supplier assessment;
 - Metrics used for supplier assessment; and
 - Ratio of BOM costs before and after supplier development efforts.
- Submit the product for nationally recognized testing laboratory (NRTL) certification.
 - Engage in design for compliance to relevant specification, including but not limited to the following:
 - UL-1574 (Standard for Track Light Systems)
 - UL-1598 (Luminaires)
 - UL-8750 (Standard for Light Emitting Diode (LED) Equipment for Use in Lighting Products)
 - UL-2108 (Standard for Low Voltage Lighting System)
 - Build in-house testing protocols to match relevant safety standards.
 - Build product samples and submit for testing at NRTL.
- Prepare a *Product Certification Report* that includes but is not limited to the following:
 - The outcomes from certification testing;
 - The certification file number; and
 - Number of product configurations that are allowed within the certification.
 - List of UL Standards with Titles, and the Associated Testing Titles from the UL Standards for evaluating the Technology Products.

Products:

- Product Design Report
- Supplier Development Report
- Product Certification Report

EXHIBIT A

Scope of Work

Subtask 2.2 Manufacturing Process and Organization Development

The goal of this subtask is to develop a set of capable manufacturing processes and tools for Recipient's high-efficiency adjustable lighting technology products, build the right operations team to ensure success in production scale-up, and verify its manufacturing business opportunity.

The Recipient shall:

- Build a flexible in-house assembly facility to allow for rapid manufacturing process development for Recipient's high-efficiency adjustable lighting technology products including:
 - Developing specialized assembly processes, tooling, and fixturing required for the novel components of the lighting technology products.
 - Developing the in-line process metrology required to measure key specifications and assess product quality at critical stages.
 - Establishing and enforcing documentation standards for assembly flow, process steps, and test procedures.
 - Developing a value stream map for the full manufacturing process, both current state and desired state.
 - Optimizing assembly process with a focus on throughput.
 - Removing bottlenecks from assembly flow via Theory of Constraints (achieving most efficient flow of material through continuous process improvement) to improve throughput.
- Establish the procedures, specifications, and processes for maintaining a manufacturing quality management system including:
 - Implementing incoming quality assurance inspection of incoming parts to ensure that defective parts do not enter the production stream.
 - Implementing statistical process control (SPC) best practices to understand process variations and ensure quality targets will be met.
 - Integrating in-line testing to ensure work-in-progress quality is maintained.
 - Establishing rejection and rework streams with the goal of minimizing rejection rate.
 - Implementing outgoing quality assurance testing and inspection on assembled units.
 - Developing and testing process FMEA models using the in-house assembly learning.
 - Implementing document control and change management procedures to ensure engineering and process changes are documented and approved.
 - Performing design review based on failure mode to prevent design problems resulting from poorly documented changes.
 - Training development and operations engineers to be familiar with manufacturing quality practices formalisms and best practices.
- Build an operations team to bring organizational direction in quality and process control, with work functions including but not limited to:
 - Engineering;
 - Quality;
 - Supply chain;
 - Procurement; and
 - Production.
- Prepare a *Quality Management Report* including but not limited to the following:
 - Selection of quality management software tools;

EXHIBIT A

Scope of Work

- SPC data for select processes;
 - Details of staff training and certifications; and
 - Details of new team members.
- Iteratively improve product cost model to match current process development and market status including:
 - Incorporating process costs into model based on process development learning.
 - Adding estimated manufacturing overhead costs.
 - Update BOM costs with improvements from supplier development and supply chain activities.
 - Establishing initial yield and labor cost for manufacturing process based on in-house assembly data.
 - Benchmarking costs against market ready cost number.
 - Continuing to engineer costs out of system.
- Prepare *Qualification and Process Revision Report* including but not limited to the following:
 - Iterative outcome of qualification runs.
 - Number of processes identified for revisions.
 - Qualitative match between process FMEA and observed process failures.
 - Relative performance of in-house assembly versus cost model targets.
- Prepare *CPR Report* in accordance with subtask 1.3 (CPR Meetings).
- Participate in a CPR meeting.

Products:

- Quality Management Report
- Qualification and Process Revision Report
- CPR Report

Subtask 2.3 Pilot Line

The goal of this subtask is to establish the supply chain and contract manufacturer relationships required for Recipient's high-efficiency adjustable lighting technology products to enter low volume production.

The Recipient shall:

- Establish a scalable supply chain model for low volume initial production including:
 - Establishing the systems required to manage supply chain.
 - Deriving supplier delivery requirements.
 - Negotiating with suppliers to meet required delivery targets.
 - Implementing an effective material requirements planning system for low volume production.
- Finalize the choice of contract manufacturing (CM) partner located in California to work with in development of the pilot line including:
 - Expanding list of potential CM partners through search and references.
 - Compiling request for proposal package including but not limited to:
 - Design drawings;
 - Standard work;
 - Product and process specifications; and
 - Value stream map.
 - Distribute request for proposal package and short-list candidate facilities.

EXHIBIT A

Scope of Work

- Visit candidate facilities to assess suitability.
 - Make final partner selection.
- Prepare *CM Report* including but not limited to the following:
 - CM partners considered;
 - Value stream map; and
 - Key factors in final partner selection.
- Transfer manufacturing process from in-house facility to contract manufacturer and:
 - Transfer proprietary tooling and test equipment to CM.
 - Work with CM to adopt standardized work developed at in-house assembly facility.
 - Build and test qualification technology products with Recipient-managed BOM.
 - Update specifications, standardized work, and cost models based on results from qualification builds.
 - Develop supplier links with Recipient in-house supply chain model.
 - Release pilot line for low volume production.
- Prepare *Pilot Line Performance Report* including but not limited to the following:
 - Iterative outcome of qualification runs;
 - Relative performance of pilot line versus in-house assembly facility; and
 - Relative performance of pilot line versus cost model.
- Establish NRTL certification for pilot line to:
 - Audit CM pilot line with NRTL inspectors;
 - Address any deficiencies identified during audit; and
 - Complete NRTL certification.
- Prepare a *Pilot Line Certification Report* that includes but is not limited to the following:
 - The outcomes from certification audit;
 - The certification file number; and
 - Protocols for maintaining certification.

Products:

- CM Report
- Pilot Line Performance Report
- Pilot Line Certification Report

TASK 3: EVALUATION OF PROJECT BENEFITS

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

The Recipient shall:

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

EXHIBIT A

Scope of Work

- 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.

EXHIBIT A

Scope of Work

- A discussion of project product downloads from websites, and publications in technical journals.
- A comparison of project expectations and performance. Discuss whether the goals and objectives of the Agreement have been met and what improvements are needed, if any.
- Respond to CAM questions regarding responses to the questionnaires.

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

Products:

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

TASK 4: 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.

EXHIBIT A

Scope of Work

- Prepare a *Technology/Knowledge Transfer Report* on technology transfer activities conducted during the project.

Products:

- Initial Fact Sheet (draft and final)
- Final Project Fact Sheet (draft and final)
- Presentation Materials (draft and final)
- High Quality Digital Photographs
- Technology/Knowledge Transfer Plan (draft and final)
- Technology/Knowledge Transfer Report (draft and final)

TASK 5: 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: GLINT PHOTONICS, 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-18-020 Glint Photonics, Inc. for a \$1,998,922 grant to develop a pilot line for high-efficiency adjustable lighting products that have measured useful lumen/watt improvement compared to state-of-the-art luminaires, and adopting staff's determination that this action is exempt from CEQA; 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 June 12, 2019.

AYE: [List of Commissioners]

NAY: [List of Commissioners]

ABSENT: [List of Commissioners]

ABSTAIN: [List of Commissioners]

Cody Goldthrite,
Secretariat