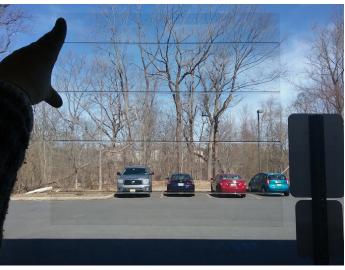
U.S. DEPARTMENT OF

Office of ENERGY EFFICIENCY & RENEWABLE ENERGY

"Electrochromic Auto-Darkening Windows for Buildings for Energy Conservation Based on Unique Conducting Polymers and Already Demonstrated in Sunglasses"

[Retrofit application to existing windows, Est. <u>\$3/ft²</u> vs. \$50 to \$300/ft² competition]





Ashwin-Ushas Corporation, 2 Timber Lane, Unit 301, Marlboro, NJ 07746 (<u>https://ashwin-ushas.com/</u>) PI: Prasanna Chandrasekhar, Ph.D. (*Title: President*)

PI Contact Info: 732-739-1122; chandra.p2@ashwin-ushas.com.

U.S. DEPARTMENT OF ENERGY OFFICE OF ENERGY EFFICIENCY & RENEWABLE ENERGY

Project Summary

Timeline:

Start date: 2018-07-02 (but Contract awarded 2018-08-27) partners) Planned end date: 2019-04-01

Key Milestones

- 1. Functioning window-dimension electrochromic panels; demonstrated to TM at PI meeting in 12/2018.
- Drastic reduction in projected cost to the <\$12/ft^2 level needed for commercial viability (vs. >\$40/ft^2 for competing technologies); functioning panels with this innovation will be demonstrated at BTO presentation, 04/2019.

Budget:

Total Project \$ to Date:

- DOE: \$144,988.00
- Cost Share: \$144,988.00

Total Project \$:

- DOE: \$149,988.00
- Cost Share: \$149,988.00

Key Partners: (No subcontractors or other key

Project Outcome:

- Objective of project was to demonstrate extension of this firm's patented electrochromic technology [1-2] currently being commercialized in (small area) sunglasses/visors to (larger area) building windows. Key to extension to large areas is need for gridlines.
- Three key innovations that were not in the original Phase I Proposal were implemented which demonstrated: (1) Functioning window-dimension electrochromic panels (demonstrated to TM at PI meeting in 12/2018); (2) Drastic reduction in projected cost to <\$4/ft², vs. the <\$14/ft² level needed for commercial viability and the \$50 to \$140/ft² for competing technologies. (Functioning panels with this innovation will be demonstrated with this BTO presentation.)
- ✤ All project Objectives met or exceeded.

Team

ASHWIN-USHAS:

□ Prasanna Chandrasekhar, Ph.D., P.I. <u>chandra.p2@ashwin-ushas.com</u>; highly experienced (>30 years) electrochemist and world authority on Conducting Polymers and electrochromics.

□ Brian Zay, Lead Scientist on project. <u>zay.b.2@ashwin-ushas.com</u> ; All-round scientist experienced in leading highly multidisciplinary research efforts and "making things work"; expert in electrochromics.

□ Shengyang Huang, Ph.D., Senior Scientist on project. <u>huang.s.2@ashwin-ushas.com</u>; highly experienced electrochemist and materials scientist (9 years post-doc prior to joining our firm).

□ Jeremy Willow, Ph.D., Senior Scientist on project. <u>willow.j.2@ashwin-ushas.com</u> highly experienced electrochemist and materials scientist (8 years post-doc prior to joining our firm).

□ Yanjie Chai, Ph.D., Electrical/Electronics Engineer on project. <u>doranj.@ashwin-ushas.com</u>; highly experienced electrical/electronics engineer who has designed and perfected all our electronics.

OTHER, ACTIVE SUPPORT FROM (vendors we have worked closely with over last 15 years):

Zeta Electronic Design, Inc. (<u>http://www.zetainc.com/</u>), an electronics design firm working actively with us. Will fabricate our electronic circuits for auto-darkening control of electrochromics, at small as well as large production scale.

□ *Tri-Power, Inc.* (<u>https://www.tripowerdesign.com/</u>), a CAD design, engineering and automation firm working actively with us in current electrochromics, sensors and other projects. *Will aid in design refinement of electrochromic panels.*

□ *Eastman* Chemical Co. (formerly CP Films, Solutia Inc., <u>https://www.eastman.com/Products/Pages/Product_Selector.aspx</u>). Supplier of inexpensive, bulk ITO/Mylar in 1000ft rolls. □ Vaculayer, Inc. (<u>http://www.vaculayer.com/</u>); Buellton Advanced Materials (BAM, formerly Thin Film Technologies, <u>https://www.lockheedmartin.com/en-us/who-we-are/business-areas/aeronautics/buellton-advanced-materials/buellton-advanced-ma</u>

□ *Utulla, LLC*, (<u>https://www.utulla.com/</u>) a data processing/software firm working actively with us in current sensor projects. *Will be used for further refinement of existing firmware in Microcontrollers (electronics).*

Challenge

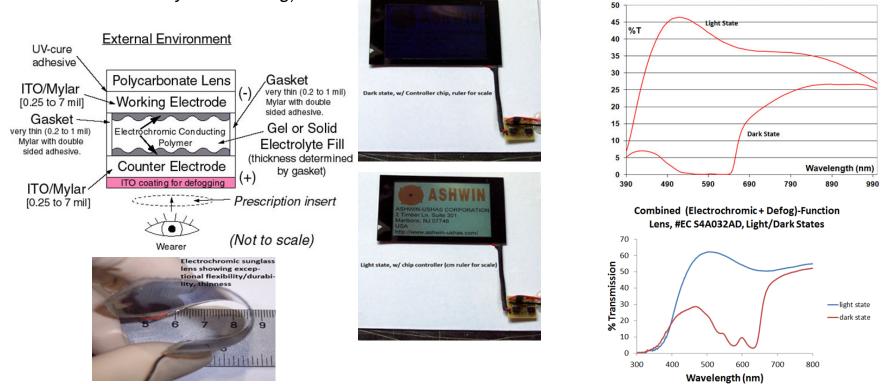
NEED AND EXISTING TECHNOLOGY ("PROBLEM DEFINITION"):

- Need in buildings: Per DOE and other sources [3], residential and commercial buildings account for >40% of total US energy demand and >70% total US electricity use, costing >\$430 billion/year [3]. 87% of US buildings and homes used AC in 2009 (vs. 68% in 1993 [3].
- Approximately 35% of this \$430B/year consumption can be attributed to losses through the building envelope, via heat transfer and related means. Air conditioning accounted for 18% of annual residential electricity use in 2017 [3]. For residential use alone, the annual CO₂ output is 117m tonnes. With commercial use factored in, the total is close to 250m tonnes [3].
- If auto-darkening windows were available for building windows in warmer US regions, energy for cooling could be greatly reduced without effect on visibility through the windows and the need for user-input to darken/lighten, as with window blinds or curtains.
- Savings: Using a very conservative figure, if just 20% of total building envelope loss is attributable to lack of window auto-darkening, then the annual US savings is estimated at \$30.1B/year and 50m tonnes CO₂.
- Existing technologies include electrochromic windows (mainly metal-oxide (WO₃, MoO₃, other) based, a 50-year-old technology) e.g. by Sage Glass (<u>https://www.sageglass.com/en</u>), View (<u>https://view.com/</u>), have drawbacks including: (1) Price \$50 to \$140 /ft² (*cf. our price ~\$2.94/ft²* (\$32.34/m²), USA production). (2) OEM windows, i.e. existing windows cannot be retrofit. (3) Poor light/dark contrast. (4) Still have stability issues.
- Other technologies, , e.g. photochromics (Transitions®), LCD-electrochromics (only extreme light/dark (L/D), On/Off, cf. <u>http://alphamicron.com/technologies/e-tint/</u>), not applicable to building windows, also many drawbacks.
- Our unique, patented electrochromics technology: Patented technology (>15 worldwide patents- see References below) based on unique complimentary dual-polymer Conducting Polymers (CPs). Best L/D contrast, stability (>1M L/D cycles); intermediate states; retrofit model for existing building windows; lowest cost (<\$3/ft2 (\$32.34/m², USA production).

Approach

BASIS OF TECHNOLOGY (OUR CURRENT ELECTROCHROMIC SUNGLASSES/VISORS):

□ Based on unique, patented dual-polymer electrochromics technology (based on unique Conducting Polymers (CPs). Very thin (<0.4 mm), flexible durable lens construction (base substrates 7 mil ITO/Mylar, which are naturally UV-blocking). :
"Very Dark" Dual-Copolymer Device Spectra



- □ Desirable color change (transparent to dark-blue-black), high cyclability (>1M L/D cycles demonstrated w/o observable degradation), shelf life >3 years, high durability. Other colors possible. Excellent optical memory.
- □ Unique applied-voltage algorithm residing on an inexpensive (<\$5) Microcontroller that drastically reduces switching time (<2 s L →D, ~*instantaneous* D→L).

BASIS OF TECHNOLOGY (OUR CURRENT ELECTROCHROMIC SUNGLASSES/VISORS) (cont.):

- □ Based on unique, patented dual-polymer electrochromics technology (based on unique Conducting Polymers (CPs). Very thin (<0.4 mm), flexible durable lens construction (base substrates 7 mil ITO/Mylar, which are naturally UV-blocking). :
- □ *Fully automated, photosensor-based control* based on ambient light. User sets light level desired at eye; then electrochromic maintains this no matter what the external lighting; Manual override available.
- Very low power consumption,15 μW/cm², +/- 3.0 VDC. For sunglasses, rechargeable Li batteries (recharge needed only after 36h continuous operation). For building windows, house-AC power more than adequate. In demo here, we use AA (1.5V) batteries.
- □ Durability: Demonstrated to conform to ANSI Z87.1-2010, GL-PD 10-12 and MIL-PRF-32432; not needed for building windows, but show technology's durability.

Sunglasses, schematic



Motorcycle visor insert (RETROFIT application)



BASIS OF TECHNOLOGY, cont., TRANSITION TO LARGE-AREA (Building) WINDOWS:

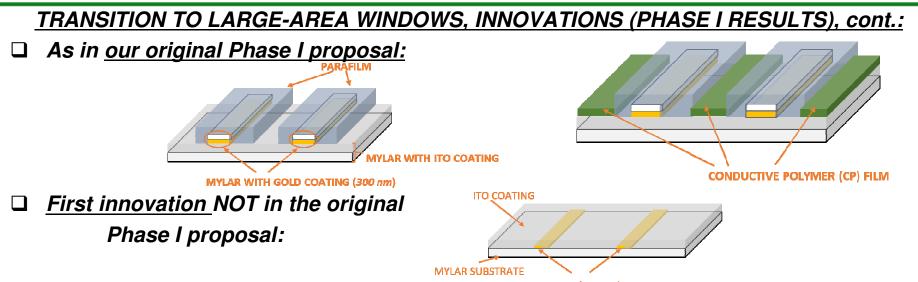
□ *ALL* above features are readily and easily transferred to the building-window application.

- □ However, <u>key for building-windows application is to transition the excellent small-area</u> <u>electrochromic function of the sunglasses to larger areas suitable for building windows</u> This is however not straightforward:
 - Due to "resistive drop" in base conductive substrates used (ITO/Mylar(PET)), limiting distance between the (+/-) points of electrical contact for effective electrochromic transition is about **11cm**. For greater distances, transition from the points of electrical contact is clearly visible, lightening/darkening is uneven, and switching time is slower.
 - Only effective method to overcome this is to introduce *conductive gridlines* (of Au or other conductor), somewhat like those in a automobile rear-window defroster; to be made as thin and invisible as possible.
 - Such gridlines however present problem with active electrochromics (CPs), since CPs are deposited electrochemically. In a conventional electrochemical deposition ("electroplating"), CPs would mostly deposit along the gridlines due to their much greater conductivity; the gridlines would also electrochemically interact with gel electrolyte. These gridlines thus need to be **masked** from the "electroplating" solution with an insulator that is compatible with the solvents used in the electrochemical deposition (including acetonitrile and propylene carbonate).

BASIS OF TECHNOLOGY, cont., TRANSITION TO LARGE-AREA WINDOWS:

□ INNOVATIONS TO ACHIEVE OBJECTIVES:

- In <u>our original Phase I proposal</u>, we proposed to vapor-deposit Au gridlines through a physical pattern mask onto the ITO/Mylar (procured as inexpensive, bulk 1000 ft rolls). Then, we proposed to study several methods of masking the gridlines.
- In a <u>first innovation</u> NOT in the original Phase I proposal, we put down the Au gridlines on Mylar first, <u>then</u> vapor-deposited the ITO. Thus, the ITO served as its own mask, eliminating the masking step. This innovation was demonstrated to PM in 12/2018 PI Meeting.
- In a <u>second, further innovation also NOT in the original Phase I proposal</u>, we demonstrated laying down of gridlines using Ag ink dispensed with a robot (Fisnar Corp.) used to imprint conductive perimeters in our electrochromic sunglasses, and the same robot to lay done masking lines consisting of PDMS on top of the Ag ink gridlines. This brought down the estimated cost of the final product drastically, as it eliminated expensive vapor deposition apparatus. **This innovation is being shown with this presentation. **
- In a <u>third, further innovation</u> also NOT in the original Phase I proposal, we demonstrated laying down of the same Ag ink gridlines using screen printing (the same, simple process used to print patterns on T-shirts). **This innovation is also being shown with this presentation. **
- The first, second and third innovations described above, not in the original Phase I proposal brought down the estimated cost of our electrochromic windows to, respectively, ~\$30/ft², \$3.25/ft² (\$34.97/m²) and ~\$2.94/ft² (\$32.34/m²), for production in USA. [** Will open Costing Spreadsheet during presentation here.**]



□ <u>Second, further innovation</u> also NOT in the original Phase I proposal:,

<u>Robot laying Ag ink</u> <u>gridline</u> <u>Robot laying PDMS mask</u> <u>on gridline</u>





<u>Finished substrate</u> <u>(masked Ag ink gridlines</u> <u>on ITO/Mylar</u>

Assembled panel in light state, seen through window



TRANSITION TO LARGE-AREA WINDOWS, INNOVATIONS (PHASE I RESULTS), cont.:

□ <u>Third, further innovation</u> also NOT in the original Phase I proposal:

<u>Manual Screen Printing</u> <u>apparatus</u>



Electrochromic Panel made by Screen Printing mounted in window, LIGHT state

<u>Screen Printed masked</u> <u>Ag ink gridlines</u>



<u>Electrochromic Panel made by</u> <u>Screen Printing mounted in</u> <u>window, DARK state</u>





<u>Current version of our semi-</u> <u>automated electrochemical</u> <u>deposition tanks</u>



Impact

HOW OUR TECHNOLOGY COMPARES WITH CURRENT STATE OF THE ART:

□ *Extant technologies:* Only other major players in electrochromic building windows field are **Sage Glass** (<u>https://www.sageglass.com/en</u>), **View** (<u>https://view.com/</u>) (photochromics, e.g. Transitions®, and LCD-electrochromics (only extreme light/dark (L/D), On/Off), are *not applicable to building windows).* Sage's and View's technologies have drawbacks, including:

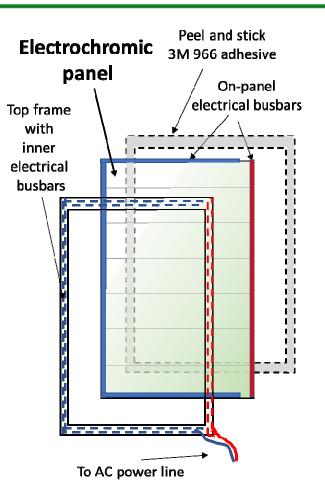
(1) Price \$50 to \$140 /ft². (2) They are OEM windows, i.e. existing windows cannot be retrofit. Customers must replace existing windows. (3) Poor light/dark contrast. (4) Still have stability issues.

• Our technology:

- Our price ~\$2.94/ft² (\$32.34/m²), USA production). [** Will open detailed costing spreadsheet here during presentation.**]
- > Auto-darkening, just like our sunglasses, based on ambient light, including all intermediate darkness levels between extreme light and dark. This will eliminate need for curtains/blinds.
- Retrofit model: (See Figure next slide.) Retrofit model will eliminate a huge "customer apathy" hurdle. So the market expands not just to new construction, but also to existing buildings. Simple "peel-and-stick" retrofit installation with pressure sensitive adhesive perimeter, plus "one-small-box" electrical connection. Perimeter-only bond will allow for additional insulation (with air gap), while having no impact on optical clarity. (Would still recommend an installation service (can license existing HVAC contractors, though Do-It-Yourself also possible.) Allows for removal (if customer suddenly changes their mind), and/or upgrade with later, better-performing electrochromic panels.
- > Market potential: If marketed properly, with even 10% penetration, estimate is \$5B/year (US only) [3].
- Other issues: Privacy: Our electrochromics get dark enough to provide sufficient privacy during night, so curtains not required even for residential buildings (generally not an issue in commercial buildings).

Impact

- □ VALIDATION OF OUR TECHNOLOGY, proposed in potential Phase II:
 - Instrumentation and apparatus for fabrication of window-sized (60X90cm), 120X182cm, 300X600cm) electrochromic panels.
 - Retrofit peripherals, method (Fig. below).
 - > Proof ITO-over-gridlines on large scale.
 - Design pilot plants for 10m²/month, 1000m²/month capacity. Start implementation of 10m²/month plant. Use these to carry out detailed costing analyses.
 - > Initiate commercial tie-ups, marketing.

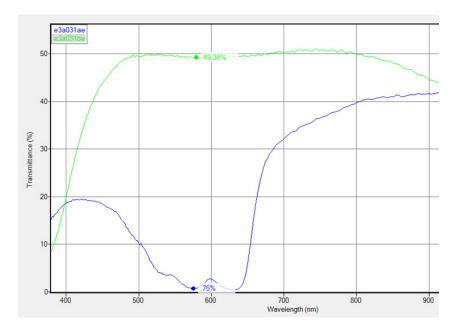


Progress

□ Phase I progress and accomplishments (also detailed somewhat in Slides 7-10 above):

- Phase I project is now in "late" stage, nearly complete. <u>All</u> Objectives met or exceeded, having succeeded much more than expected vs. original Phase I work proposed.
- Three new innovations not in original Phase I proposal implemented, demonstrated_(see Slide 7). End result of these was to demonstrate facile, large-scale manufacturing method that brings price of our electrochromics down to \$32.34/m² (~\$2.94/ft²). [Costing spreadsheet shown earlier in presentation.].
- Switching times for window-sized panels 3s $(D\rightarrow L)$, $10s(L\rightarrow D)$.
- Functioning window-sized electrochromic panels (60cmX90cm) fabricated, tested. Includes demonstration of working with AC adapters using house line voltage (120VAC, 50Hz).
- Peripherals and infrastructure for userinstalled retrofit to windows demonstrated.
- Tie-ups with commercialization partners (window and glass companies) initiated (see further below).





Stakeholder Engagement

□ Note: This Phase I project is at a "late" stage.

COLLABORATION AND POTENTIAL CO-PRODUCTION DISCUSSIONS AT ADVANCED STAGE WITH :

APG Glass (Belgium-based, worldwide presence, parent AGP America, S.A., <u>https://www.agpglass.com/</u>). They are an auto glass manufacturer (OEM to major auto companies), but are also interested in branching out into commercial building window glass. POC: Laura Granados, Director, R&D Materials Scouting.

CONTACTS INITIATED WITH AND AT AN EARLY STAGE WITH:

- Vitro Architectural Glass (formerly PPG Industries, Pittsburgh-based, worldwide presence, <u>http://www.vitroglazings.com/en-US/About-Us.aspx</u>), North America's largest glass producer, leading provider of building window glass. POC: Steve Marino, Manager Tech Development, 412-215-1918.
- Trulite Glass & Aluminum Solutions, LLC (Minneapolis, MN, <u>https://www.trulite.com/</u>), small manufacturer of window glass. Manufactures, distributes architectural glass products in N. America. It offers POC: Jeff Haberer, 612-805-2251.
- Andersen Windows (Bayport, MN, <u>https://www.andersencorporation.com/</u>), largest manufacturer of OEM residential and commercial windows in N. America. POC: Kate Graham, "Glass Competency Team Leader", 651-264-7226.
- □ It is proposed to initiate lab testing and field trials in collaboration with at least two of the above potential stakeholders during a potential Phase II project.

Remaining Project Work

- □ It is noted that <u>this project has already greatly exceeded the original Phase I goals</u>. Nevertheless, during the remainder of the project, it is proposed to:
 - Fabricate, characterize and test window-sized panels larger than those currently fabricated (which is 60cmX90cm). Target is 120cmX120cm. For proof-of-concept.
 - Affix these window-sized panels to windows using peripherals shown in Slide 10 but also including photosensor, and demo automated operation (auto-darkening/lightening) over several days with AC voltage.
 - Cost out the ITO-over-gridlines ("Innovation #4") option.
 - > Continue discussions with stakeholders (commercialization partners).

References

[1] *Our selected publications in Conducting Polymer (CP)-based electrochromics*: (a) Chandrasekhar, P.; Zay, B.J.; Cai, C.; Chai, Y.; Lawrence, D., " Matched-dual-polymer electrochromic lenses, using new cathodically coloring conducting polymers, with exceptional performance and incorporated into automated sunglasses", *J. Appl. Polym. Sci.* 2014, *131* (22), 41043. DOI: 10.1002/app.41043. (b) Chandrasekhar, P.; Zay, B.J.; Lawrence, D.; Caldwell, E.; Sheth, R.; Shephan, R.; Cornwell, J., "Variable-Emittance Infrared Electrochromic Skins Combining Unique Conducting Polymers, Ionic Liquid Electrolytes, Microporous Polymer Membranes, and Semiconductor/Polymer Coatings, for Spacecraft Thermal Control", *J. Appl. Polym. Sci.* 2014, *131*, 40850. DOI: 10.1002/app.40850. (c) Chandrasekhar, P., Zay, B.J.; McQueeney, T.M.; Birur; G.; Sitaram, V.; Menon, R.; Elsenbaumer, R.L. (2005), "Physical, Chemical and Theoretical Aspects of Conducting Polymer Electrochromics in the Visible, IR, and Microwave Regions". *Synth. Met.*, 2005, *155* (3), 623-627. (d) Chandrasekhar, P. et al. "Polymers with Large, Dynamic Electrochromism in the Mid- and Far-infrared", *Advanced Functional Materials*, 2002, *12* (2), 95-10. (d) (*Textbook*): Chandrasekhar, P. (sole authorship, non-edited text), *Conducting Polymers: Fundamentals and Applications. A Practical Approach*, with foreword by Lawrence Dalton: A pedagogical textbook; Kluwer Academic Publishers, Dordrecht, Netherlands, Norwell, MA, USA, *ISBN No. 0-7923-8564-0 (August 1999)*. (*New edition, to be published by Springer, is due in mid-2018.*) (e) *See also: https://ashwin-ushas.com/electrochromics.* sunglasses-goggles/, https://www.ashchromics.com/, https://ashwin-ushas.com/. (*Accessed March 2019.*).

[2] Our selected, relevant PATENTS relating to electrochromics, in inverse chronological order (Several other patents, NOT listed for space reasons, can be searched using "Chandrasekhar, Prasanna" on <u>www.freepatentsonline.com</u>): (i) Chandrasekhar, P, "Electrochromic Eyewear", US Design Patent, Notice of Allowance granted **2018-07-11**. (ii) Chandrasekhar, P, "Method and Apparatus for Control of Electrochromic Devices", US Patent 9,995,949 B2 (granted) 12 June **2018**). (iii) Chandrasekhar, P, "Method and Apparatus for Control of Electrochromic Devices", Taiwan Patent, Notice of Allowance issued on **2018-05-02**. (iv) Chandrasekhar, P, "Apparatus and Method for Electrochromic Deposition of Electrochromic Device", US Patent 9,945,045 B2, granted **2018-04-17**. (v) Chandrasekhar, P, "Complimentary Polymer Electrochromic Device", China Patent, Notice of Intent to Grant (Allowance) issued on **2017-05-09**. (vi) Chandrasekhar, P, "Complimentary Polymer Electrochromic Device". U.S. patent 9,632,059 B2 (granted 25 April **2017**). (vii) Chandrasekhar, P, "Complimentary Polymer Electrochromic Device". U.S. patent 9,594,284 B2 (granted 14 March 2017). (viii) Chandrasekhar, P, "Complimentary Polymer Electrochromic Device". European patent EP 2 780 762 B1. Granted 2016-03-01. (ix) Chandrasekhar, P, "Complimentary Polymer Electrochromic Device". US Patent 9,482,880 B1 (granted 1 Nov **2016**). (x) Chandrasekhar, P, "Complimentary Polymer Electrochromic Device". US Patent 9,474,395 B2 ((granted 1 March **2016**). (xi) Chandrasekhar, P, "Variable-Emittance Electrochromic Device and Methods of Preparing the Same", US Patent No. 9,207,515 B2 granted 8 December **2015**). (xii) Chandrasekhar, P, "Method and Apparatus for Control of Electrochromic Devices", US Patent **8**,902,486 B1 ((2 December **2014**).

References, cont.

[3] For info on US air conditioning and related energy consumption, see, e.g.: (a) See description in DOE SBIR FY2018 Phase I Release Topics, , p. 41.(b) <u>https://www.eia.gov/todayinenergy/detail.php?id=36692</u>.

- (c) https://www.energy.gov/energysaver/home-cooling-systems/air-conditioning
- (d) https://www.utilitydive.com/news/eia-air-conditioners-make-up-18-of-annual-household-electrical-use/443313/
- (e) <u>https://grist.org/climate-energy/usa-number-one-in-air-conditioning-use-but-not-for-long/</u>.

[4] For info on size of commercial building windows market in USA only, see, e.g.: <u>https://www.globenewswire.com/news-release/2018/07/25/1541719/0/en/Doors-and-Windows-Market-to-cross-260bn-by-2024-Andersen-Corporation-JELD-WEN-Inc-Pella-Corporation-Atis-Group-and-other-players-profiled.html (This notes that the Windows and Doors Market is forecast to reach USD 260 billion by 2024; according to a new research report by Global Market Insights, Inc. Residential Windows and Doors Market will contribute more than 60% market share by 2024.</u>

Project Budget

Project Budget: Original, Total: \$149,988.00. Project start date: 2018-07-02 (but Contract awarded 2018-08-27). Project planned end date: 2019-04-01. Variances: None. Cost to Date: \$144,988.00 Additional Funding: None.

Budget History					
<u>Start:</u> 2018-07-02 (but Contract awarded 2018-08-27). <u>End:</u> 2019-04-01. All FY 2018		FY 2019 (current) N/A		FY 2020 – <i>N/A</i> (planned)	
DOE	Cost-share	DOE	Cost-share	DOE	Cost-share
\$149,988.00		N/A		N/A	

Project Plan and Schedule

Project original initiation date: 2018-07-02 (*but Contract awarded 2018-08-27*) *Project planned completion date:* Originally 2019-04-01.

