

Guidance for State Energy Assurance Planning Deliverables 3.0 and 5.0

December 2, 2010

Task/Deliverable 3.0 – Energy Assurance Plan

The initial Energy Assurance Plan is due 18 months after the award date, which can be found on the first page of your Assistance Agreement. A final Energy Assurance Plan is due at the completion of the project performance period.

The tasks and deliverables related to the Energy Assurance Plan are stated in the SOPO as follows:

Task 3.0 – Energy Assurance Planning

The Recipient will develop a new, or substantially refine its existing, Energy Assurance Plan (EAP) to incorporate response actions for new energy portfolios, including Smart Grid technologies. The EAP shall address, at a minimum, Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications.

Through Cooperative Agreement Number DE-FC26-07NT43264, NASEO, with DOE, has prepared the State Energy Assurance Guidelines, which may serve as a model for State Energy Offices in developing or revising the Energy Assurance plans under this initiative. (Link: www.naseo.org/eaguidelines) The recipient will revise appropriate State policies, procedures and practices to reflect the State's Energy Assurance Plan. The State will append its Energy Assurance Plan to the State Energy Plan, as appropriate.

Deliverable 3.0 – Energy Assurance Plan

The initial EAP is due 18 months after the award and revised (if necessary) following the energy assurance exercises. A final EAP shall be delivered at the completion of the performance period.

Guidance for Deliverable 3.0

The State Energy Assurance Guidelines and the Energy Assurance Planning Framework are available on the NASEO website at www.naseo.org/energyassurance and are intended to provide States with ideas to consider when developing the EAP. It is recommended that you review these resources for basic principles and elements to be included in the creation/revision of the EAP.

The EAP deliverable may be in the form of one or more documents (i.e., word/xls/pdf/ppt file). The submitted documents should also identify the following:

- Address all the relevant energy sectors in your State including renewables.
- Identify level of completion (i.e. complete draft, partial completion, fully complete final plan minus exercise lessons learned, etc.)
- Indicate if the EAP deliverable submission is a completely new document or a revision to an existing plan

- Provide a time line or outline of planned enhancements to be included in the final EAP submission at the end of the project performance period.
- Identify the State agency(s) responsible for housing and maintaining the EAP and how the EAP will be incorporated into the State's emergency response/management plan.

Task/Deliverable 5.0 - Energy Assurance Exercises

The intra-State and inter-State Exercises (Deliverable 5 per the SOPO) are to be completed 24 and 30 months respectively after the official award date, which can be found on the first page of your Assistance Agreement. The After-Action Reports (Deliverable 5.1 and 5.2) are due within 30 days following completion of the exercises.

The tasks and deliverables as stated in your SOPO are:

Task 5.0 - Energy Assurance Exercise

The Recipient will develop a strategy to exercise its Energy Assurance Plan (EAP), simulating, through table-top exercises, energy emergency/disruptions, both within the State (including municipal and county governments as well as pertinent State agencies such as, Public Utility Commissions, Emergency Management, Homeland Security, etc) and on a multi-State or regional scale, incorporating local, State and Federal agencies and industry, as appropriate. The Recipient shall conduct, or participate in at least two exercises as described below

Subtask 5.1 – Conduct at least one intra-State training/exercise that includes players from State agencies, local governments, industry and Federal partners, as appropriate. The recipient shall prepare an exercise after-action report, which will result in actionable items and any necessary revisions/modifications to the EAP.

Subtask 5.2 – Participate in and/or conduct at least one inter-State/regional exercise that includes players from neighboring States, local governments, industry and Federal agencies, as appropriate. The recipient shall prepare an exercise After-Action Report, which will result in actionable items and any necessary revision/modifications to the Energy Assurance Plan.

Deliverable 5.0 – Energy Assurance Exercise Summary and After-Action Report(s)

Deliverable 5.1 - The intra-State training/exercise(s) must be completed within 24 months after the award, with an after-action report delivered 30 days following the exercise.

Deliverable 5.2 - The inter-State/regional training/exercise(s) must be completed within 30 months after the award, with an after-action report delivered 30 days following the exercise.

Guidance for Deliverable 5.0

For the purposes of meeting the intra-State exercise requirement, States may conduct an exercise within their State or they may participate in larger State-level exercises. If the latter option is chosen, they must make certain that a major energy component is part of the exercise scenario. The goal of the exercise is to exercise and test your draft EAP and train State personnel on the execution of the EAP.

In 2011, the US Department of Energy will sponsor multi-State exercises. Participation in the DOE-sponsored exercises will satisfy the inter-State exercise requirement. States are strongly encouraged, but not required, to participate in the DOE exercises. If States do not participate in the DOE exercises, they must conduct or participate in a multi-State exercise to meet this requirement.

States may choose to participate in more than two exercises using grant funds, assuming there is sufficient funding within the project budget. States should assure that their Project Management Plan and budget reflects any additional exercises beyond the minimum requirement. An After-Action Report should be prepared for all exercises, and submitted to the DOE.

The exercise After-Action Report deliverable may be in the form of one or more documents (i.e., word/xls/pdf/ppt file). The submitted documents should describe the following:

- Event Details - Date; Location; List of Participants and their roles/responsibilities (Indicate number from Federal/State/local government and private sector, if applicable.)
- Energy Sector Focus (Electricity, Petroleum, Natural Gas, Renewable, etc.)
- Describe exercise scenario.
- Address how your EAP was incorporated in the exercise.
- Discuss lessons learned and identify potential enhancements to the EAP as a result of the exercise

Each deliverable must be submitted to the EERE-PMC website:

<https://www.eere-pmc.energy.gov/SubmitReports.aspx>

The document(s) should be uploaded through the "Report not listed as a Deliverable" link. Mark the Type as "Other".

If you have any questions on the submission process or deliverable requirements, please do not hesitate to contact your Project Officer, Ryan Watson (304-285-5252) or Katy Kweder (304-285-4039).