FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT

U. S. Department of Energy

National Energy Technology Laboratory

Recovery Act - Enhancing State Government Energy Assurance Capabilities and Planning for Smart Grid Resiliency

Funding Opportunity Number: DE-FOA-0000091

Announcement Type: Initial

CFDA Number: 81.122

Issue Date:	**06/15/2009**
Letter of Intent Due Date:	**Not Applicable**
Pre-Application Due Date:	**Not Applicable**
Application Due Date:	**07/30/2009 at 3:00:00 PM Eastern Time**

NOTE: REGISTRATION/SUBMISSION REQUIREMENTS

Registration Requirements

There are several one-time actions you must complete in order to submit an application in response to this Announcement (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contractor Registration (CCR), and register with FedConnect). Applicants who are not registered with CCR and FedConnect, should allow at least 10 days to complete these requirements. It is suggested that the process be started as soon as possible.

Applicants must obtain a DUNS number. DUNS website: http://fedgov.dnb.com/webform.

Applicants must register with the CCR. CCR website: http://www.ccr.gov/

Applicants must register with FedConnect to submit their application. FedConnect website: www.fedconnect.net

Questions

Questions relating to the **system requirements or how an application form works** must be directed to Grants.gov at 1-800-518-4726 or **support@grants.gov**.

Questions regarding the **content** of the announcement must be submitted through the FedConnect portal. You must register with FedConnect and join the Response Team to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at **http://www.compusearch.com/products/fedconnect/fedconnect.asp**. DOE/NNSA will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions pertaining to the **submission** of applications through FedConnect should be directed by e-mail to support@FedConnect.net or by phone to FedConnect Support at 800-899-6665.

Application Preparation and Submission

Applicants must download the application package, application forms and instructions, from Grants.gov. Grants.gov website: http://www.grants.gov/
(Additional instructions are provided in Section IV A of this FOA.)

Applicants must submit their application through the FedConnect portal. FedConnect website: www.fedconnect.net
(Additional instructions are provided in Section IV H of this FOA.)

TABLE OF CONTENTS

PART I – FUNDING OPPORTUNITY DESCRIPTION

A. INTRODUCTION

American Recovery and Reinvestment Act of 2009 (ARRA 2009)

Projects under this FOA will be funded, in whole or in part, with funds appropriated by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act or Act). The Recovery Act's purposes are to stimulate the economy and to create and retain jobs. The Act gives preference to activities that can be started and completed expeditiously. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the Act, especially job creation, preservation and economic recovery, in an expeditious manner.

Be advised that special terms and conditions may apply to projects funded by the Act relating to:

- Reporting, tracking and segregation of incurred costs;
- Reporting on job creation and preservation;
- Publication of information on the Internet;
- Access to records by Inspectors General and the Government Accountability Office;
- Prohibition on use of funds for gambling establishments, aquariums, zoos, golf courses or swimming pools;
- Ensuring that iron, steel and manufactured goods are produced in the United States;
- Ensuring wage rates are comparable to those prevailing on projects of a similar character;
- Protecting whistleblowers and requiring prompt referral of evidence of a false claim to an appropriate inspector general; and
- Certification and Registration.

These special terms and conditions will be based on provisions included in Titles XV and XVI of the Act. The special terms and conditions can be found at http://management.energy.gov/policy_guidance/1672.htm.

The Office of Management and Budget (OMB) has issued Initial Implementing Guidance for the Recovery Act. See M-09-10, Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009 and M-09-15, Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009. OMB will be issuing additional guidance concerning the Act in the near future. Applicants should consult the DOE website, www.energy.gov, the OMB website http://www.whitehouse.gov/omb/, and the Recovery website, www.recovery.gov regularly to keep abreast of guidance and information as it evolves.

Recipients of funding appropriated by the Act shall comply with requirements of applicable Federal, State, and local laws, regulations, DOE policy and guidance, and instructions in this FOA, unless relief has been granted by DOE. Recipients shall flow down the requirements of applicable Federal, State and local laws, regulations, DOE policy and guidance, and instructions in this FOA to subrecipients at any tier to the extent necessary to ensure the recipient's compliance with the requirements.

Be advised that Recovery Act funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related OMB Guidance. Applicants for projects funded by sources other than the Recovery Act should plan to keep separate records for Recovery Act funds and ensure those records comply with the requirements of the Act. Funding provided through the Recovery Act that is supplemental to an existing grant is one-time funding.

Applicants should require their first tier subawardees to obtain a DUNS number (or update the existing DUNS record) and register with the Central Contractor Registration (CCR).

B. DESCRIPTION OF FUNDING OPPORTUNITY

1. Background:

Awards under this announcement will be funded with the Office of Electricity Delivery and Energy Reliability (OE), American Reinvestment and Recovery Act (ARRA) Funds.

Since the goal of the American Recovery and Reinvestment Act of 2009 (ARRA), in part, is to: “facilitate recovery from disruptions to the energy supply” and “enhanced reliability and quicker repair of outages,” this initiative will create jobs at the State level and allow States to have well-developed, standardized energy assurance and resiliency plans that they can rely on during energy emergencies and supply disruptions. State governments will address energy supply disruption risks and vulnerabilities in their plans to lessen the devastating impact that such incidents have on the economy and the health and safety of citizens.

This initiative, called “The Enhancing State Government Energy Assurance Capabilities and Planning for Smart Grid Resiliency Initiative” (hereinafter called the State EA Initiative) focuses on developing new, or refining existing, plans to integrate new energy portfolios (renewables, biofuels, etc) and new applications, such as Smart Grid technology, into energy assurance and emergency preparedness plans. Better planning efforts will help contribute to the resiliency of the energy sector, including the electricity grid, by focusing on the entire energy supply system, which includes refining, storage, and distribution of fossil and renewable fuels.

Through Cooperative Agreement Number DE-FC26-07NT43264, NASEO, with DOE, has prepared the State Energy Assurance Guidelines (http://www.naseo.org/eaguidelines/), which is expected to serve as a model for State Energy Offices in developing or revising the Energy Assurance plans under this initiative.

2. Purpose/Objectives:

The purposes of this initiative are to: 1) strengthen and expand State and local government energy assurance planning and resiliency efforts by incorporating response actions for new energy portfolios and Smart Grid applications, 2) create jobs, and 3) build in-house State and local government energy assurance expertise.

The initiative will focus on building regional energy assurance capability to allow States to better coordinate and communicate state-wide and with one another, on energy security, reliability, and emergency response issues.

The following activities shall be addressed when structuring projects under this funding opportunity:

- Create in-house expertise at the State level on energy assurance planning and resiliency, focusing on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications.
- Develop new, or refine existing, Energy Assurance Plans to incorporate response actions to new energy portfolios, including Smart Grid technologies.
- Revise appropriate State policies, procedures and practices to reflect the Energy Assurance Plans. States should append the Energy Assurance Plan to the State Energy Plan, as appropriate.
- Develop and initiate a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.
- Train appropriate personnel on energy infrastructure and supply systems and the content and execution of energy assurance plans.
- Conduct energy emergency exercises (intra and interstate) to evaluate the effectiveness of the energy assurance plans.

The results of the funding provided for the projects will be assessed according to the following performance metrics:

- Number of energy assurance plans created or substantially revised.
- Number of jobs created within State government agencies for energy assurance planning and response capabilities.
- Number of energy assurance training sessions, workshops and/or exercises conducted.

- Number of people trained.

States cannot use the funds received through this FOA for any activities funded by Annual or ARRA State Energy Program funds, nor can the funds under those programs be used for activities under this FOA. Essentially, funds received under this announcement can not be used to supplant funds under the Energy Efficiency and Conservation Block Grant Program, the Annual State Energy Program (SEP) or the Recovery Act SEP Program.

3. Benefits

The anticipated benefits of this initiative are:

1. Creating more current or up-to-date energy assurance plans will incorporate new energy portfolios such as renewables, biofuels, and Smart Grid technologies, etc. Updating EA plans to reflect these portfolios will allow States to be more informed and better prepared when responding to energy emergencies.

2. Creating in-house expertise at the State level on energy assurance planning and resiliency, focusing on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications will allow State agencies to better identify energy events and assess supply disruptions. Building expertise and capability will help agencies be more aware of how energy systems work and their importance to other sectors. This will also help States quantify the severity and identify the duration of an energy supply disruption. Enhancing in-house energy assurance capability will ultimately reduce the response, restoration and recovery time from energy supply disruption events.

3. Better coordination across State agencies and between states and localities regionally creates more efficient preparedness and response actions, reduces duplication, and decreases the time required to recover and restore the energy infrastructure.

4. Creating and saving jobs.

C. FORMULA FOR ALLOCATION OF FUNDS

The formula for allocating funding is comprised of a base allocation ($11,200,000), with the balance ($28,300,000) distributed based on population according to the 2008 U.S. Census data. The proposed funding allocation is contained in Attachment A.

PART II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding grants under this funding opportunity announcement.

B. ESTIMATED FUNDING

Approximately $39,500,000 is expected to be available for new awards under this announcement. The funds will be distributed on a formula-basis in accordance with the funding allocations contained in Attachment A.

C. MAXIMUM AND MINIMUM AWARD SIZE

In accordance with the funding allocation, as shown in Attachment A, DOE anticipates that the awards will range from $205,257 to $3,572,526.

D. EXPECTED NUMBER OF AWARDS

DOE anticipates making up to 56 awards under this funding opportunity announcement.

E. PERIOD OF PERFORMANCE

DOE anticipates making awards with performance periods not to exceed 3 years.

F. TYPE OF APPLICATION

DOE will accept only new applications under this announcement.

PART III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

Eligibility for award is restricted to States, Territories (Puerto Rico, US Virgin Islands, American Samoa, Guam, and Northern Mariana Islands), and the District of Columbia (hereinafter "States"). This funding opportunity is intended for the State Energy Offices. The State Energy Offices may make sub-awards to other State agencies, entities, or functions having the responsibility, as recognized within the State, for energy assurance planning.

B. COST SHARING

Cost sharing is not required.

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE

Application forms and instructions are available at Grants.gov. To access these materials, go to http://www.grants.gov, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to save the application package. Once you have SAVED the application package and completed all the required documentation, you will submit your application via the Fedconnect portal. **DO NOT use the Save & Submit selection in Grants.gov.**

B. LETTER OF INTENT AND PRE-APPLICATION

1. Letter of Intent. .

Letters of Intent are not required.

2. Pre-application

Pre-applications are not required.

C. CONTENT AND FORM OF APPLICATION – SF 424

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL- Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement**.

1. SF 424 - Application for Federal Assistance

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm under Certifications and Assurances.

PLEASE NOTE: By signing the SF 424, Applicants are providing their written assurance that they will comply with ALL requirements set forth in the American Reinvestment and Recovery Act.

2. Project/Performance Site Location(s)

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided.

Note that the Project/Performance Site Congressional District is entered in the format of the 2 digit state code followed by a dash and a 3 digit Congressional district code, for example VA-001. Hover over this field for additional instructions.

Use the Next Site button to expand the form to add additional Project/Performance Site Locations.

3. Other Attachments Form

Submit the following files with your application and attach them to the Other Attachments Form. Click on "Add

Mandatory Other Attachment" to attach the Project Narrative. Click on "Add Optional Other Attachment," to attach the other files.

- **Project Narrative File - Mandatory Other Attachment**

  The project narrative must include include a concise summary (not to exceed 3 pages when printed using standard 8.5" by 11" paper with 1 inch margins, single-spaced) of the approach for executing the project as defined in the Statement of Project Objectives (SOPO). Do not include any Internet addresses (URLs) that provide information necessary to review the application. Save the information in a single file named "Project.pdf," and click on "Add Mandatory Other Attachment" to attach.

  The Department of Energy's, National Energy Technology Laboratory (NETL) has provided the following SOPO for this initiative, which will be included in the resultant award. The SOPO may be released to the public by NETL in whole or in part at any time.

STATEMENT OF PROJECT OBJECTIVES (SOPO)

A. OBJECTIVES

The objectives of this initiative are to: 1) strengthen and expand State and local government energy assurance planning and resiliency efforts by incorporating response actions for new energy portfolios and Smart Grid applications; 2) create jobs, and 3) build in-house State and local government energy assurance expertise.

The initiative focuses on building regional energy assurance capability to allow the State to better coordinate and communicate state-wide and with one another, on energy security, reliability, and emergency response issues.

B. SCOPE OF WORK

The following activities are addressed under this initiative:

- Create in-house expertise at the State level on energy assurance planning and resiliency, focusing on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications.

- Develop new, or refine existing, Energy Assurance Plans to incorporate response actions to new energy portfolios, including Smart Grid technologies.

- Revise appropriate State policies, procedures and practices to reflect the Energy Assurance Plans. States should append the Energy Assurance Plan to the State Energy Plan, as appropriate.

- Development and initiation of a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.

- Train appropriate personnel on energy infrastructure and supply systems and the content and execution of energy assurance plans.

- Conduct energy emergency exercises (intra and inter-state) to evaluate the effectiveness of the Energy Assurance Plans.

The results of the funding provided for the projects will be assessed according to the following performance metrics:

- Number of Energy Assurance Plans created or substantially revised
- Number of jobs created within State government agencies for energy assurance planning and response capabilities
- Number of energy assurance training sessions, workshops and/or exercises conducted
- Number of people trained

C. TASKS TO BE PERFORMED

These are the minimum required tasks, however more additional subtasks may be added by the Recipient and identified/described in the Project Management Plan.

Task 1.0 - Project Management Plan

The Recipient will prepare a Project Management Plan that details the work elements required to manage and report on activities in accordance with the American Recovery and Reinvestment Act (ARRA) and grant requirements. This Plan will also document the 3-year plan and project budget for carrying out all Tasks and completing all Deliverables under this Grant. It is anticipated that this document may be periodically revised during the performance period, but will at all times provide sufficient detail to plan, carry out and monitor all project activities. (Attachment C provides a Project Management Plan template.)

Task 2.0 – Workforce Development Plan

The Recipient will prepare and follow a Workforce Development Plan that results in development of in-house expertise at the State level on energy assurance planning with an emphasis on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications. The Plan will address hiring, retaining, and training personnel in these areas.

Task 3.0 – Energy Assurance Planning

The Recipient will develop a new, or substantially refine its existing, Energy Assurance Plan to incorporate response actions for new energy portfolios, including Smart Grid technologies. The Energy Assurance Plan 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.

Task 4.0 – Energy Supply Disruption Tracking Process

The Recipient will initiate a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.

Task 5.0 - Energy Assurance Exercise

The Recipient will develop a strategy to exercise its Energy Assurance Plan, 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 and Emergency Management Offices) 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 Energy Assurance Plan.

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 partners, 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.

D. DELIVERABLES

These are to be considered the minimum required deliverables, however more may be added by the recipient and indentified/described in the Project Management Plan.

Deliverable 1.0 – Project Management Plan (Plan due 60 days after the award and revised as necessary throughout the performance period.)

Deliverable 2.0 – Workforce Development Plan (Plan due 90 days after the award and revised periodically if necessary throughout the performance period.)

Deliverable 3.0 – Energy Assurance Plan (The initial Energy Assurance Plan is due 18 months after the award and revised (if necessary) following the energy assurance exercises. A final Energy Assurance Plan shall be delivered at the completion of the performance period.)

Deliverable 4.0 – Documented process or procedure for tracking the duration, response, restoration and recovery time of energy supply disruption events. (Due one year after the award.)

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.

Note: The periodic, topical, and final deliverables and reports shall be submitted in accordance with the "Federal Assistance Reporting Checklist". A sample checklist is included in Attachment B of this FOA.

- **Project Summary/Abstract File**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed one (1) page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right) with font no smaller than 11 point. Save this information in a file named “Summary.pdf,” and click on “Add Optional Other Attachment” to attach.

- **ARRA 2009 Prevailing Wage Information**

  Applications shall provide information which validates that all laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the Act are paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by subchapter IV of Chapter 31 of title 40, United States Code (Davis-Bacon Act). For guidance on how to comply with this provision, see http://www.dol.gov/esa/whd/contracts/dbra.htm. Save the ARRA 2009 prevailing wage assurance in a single file named "ARRAWage.pdf," and click on "Add Optional Other Attachment" to attach.

- **NEPA**

  All Projects receiving financial assistance from DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. The first step in DOE's NEPA review process requires financial assistance recipients to submit information to DOE regarding the potential environmental impacts of the project receiving DOE funds. Applicants must complete the Environmental Checklist (DOE PMC EF-1) on-line at the following site: https://www.eere-pmc.energy.gov/NEPA.asp

3. SF-LLL Disclosure of Lobbying Activities

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
Application for Federal Assistance – SF424	Form	N/A
Project/Performance Site Location(s)	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Project Narrative File	PDF	Project.pdf
Project Summary/Abstract File	PDF	Summary.pdf
ARRA 2009 Prevailing Wage Information	PDF	ARRAWage.pdf
NEPA Form	PDF	See Instructions
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

If selected for award, DOE/NNSA reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)

E. SUBMISSION DATES AND TIMES

1. Pre-application Due Date

Pre-applications are not required.

2. Application Due Date

Applications should be received by 07/30/2009, not later than 3:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

F. INTERGOVERNMENTAL REVIEW

This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

G. FUNDING RESTRICTIONS

Cost Principles Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. The cost principles for commercial organization are in FAR Part 31.

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit

- **APPLICATIONS MUST BE SUBMITTED THROUGH FEDCONNECT TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the FedConnect portal at www.fedconnect.net. Information regarding how to submit applications via Fed Connect can be found at https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf.

  Further, it is the responsibility of the applicant, prior to the offer due date and time, to verify successful transmission.

2. Registration Process

There are several one-time actions you must complete in order to submit an application in response to this Announcement (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), and register with FedConnect). Applicants, who are not registered with CCR and Fedconnect, should allow at least 10 days to complete these requirements. It is suggested that the process be started as soon as possible.

Part V - APPLICATION REVIEW INFORMATION

A. REVIEW AND AWARD PROCESS

Applications under this funding opportunity will be reviewed and awarded in accordance with the final 2009 American Recovery and Reinvestment Act (ARRA) Formula Allocations, included as Attachment A to this announcement.

B. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE anticipates making initial awards as early as September 15, 2009 with all 56 awards completed by October 30, 2009.

Part VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

Notice of Award

An Assistance Agreement issued by the contracting officer is the authorizing award document. It normally includes either as an attachment or by reference: (1). Special Terms and Conditions; (2). Applicable program regulations, if any; (3). Application as approved by DOE/NNSA.; (4). DOE assistance regulations at 10 CFR part 600; (5). National Policy Assurances To Be Incorporated As Award Terms; (6). Budget Summary; and (7). Federal Assistance Reporting Checklist, which identifies the reporting requirements.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: http://ecfr.gpoaccess.gov). Grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110 are subject to the Research Terms and Conditions located on the National Science Foundation web site at http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp.

ARRA 2009 Award Administration Information

Special Provisions relating to work funded under American Recovery and Reinvestment Act of 2009, Pub. L. 111-5 shall apply. These provisions can be found at http://management.energy.gov/policy_guidance/1672.htm.

2. Special Terms and Conditions and National Policy Requirements

Special Terms and Conditions and National Policy Requirements
The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at http://management.energy.gov/business_doe/business_forms.htm.
The National Policy Assurances To Be Incorporated As Award Terms are located at DOE http://management.energy.gov/business_doe/business_forms.htm.

Intellectual Property Provisions
The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at http://www.gc.doe.gov/financial_assistance_awards.htm.

C. REPORTING

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement.

PART VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at http://www.compusearch.com/products/fedconnect/fedconnect.asp.

DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website. DOE/NNSA will not respond to questions received within 5 days of the FOA closing date. For this FOA, no response will be provided for questions received after July 26, 2009.

B. AGENCY CONTACT

Name:	Kellyn L. Cassell
E-mail:	kellyn.cassell@netl.doe.gov
Telephone:	(304) 285-4554
FAX:	(304) 285-4683

PART VIII - OTHER INFORMATION

A. MODIFICATIONS

Notices of any modifications to this announcement will be posted on Grants.gov and the FedConnect portal. You can receive an email when a modification or an announcement message is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon after release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements. More information is available at http://www.fedconnect.net and http://www.compusearch.com/products/fedconnect.asp.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. COMMITMENT OF PUBLIC FUNDS

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

ATTACHMENT A

Proposed Fund Allocation for ARRA State EA Initiative

The formula for allocating funding is comprised of a base allocation ($11,200,000), with the balance ($28,300,000) distributed based on population according to the 2008 U.S. Census data.

States, Territories and District of Columbia	Population (according to the 2008 U.S. Census data)	Percent of U.S. Population	Funding Based on Population	Funding Base	Total Funding
Alabama	4,661,900	1.51%	$ 427,742	$ 200,000	$ 627,742
Alaska	686,293	0.22%	$ 62,969	$ 200,000	$ 262,969
Arizona	6,500,180	2.11%	$ 596,410	$ 200,000	$ 796,410
Arkansas	2,855,390	0.93%	$ 261,990	$ 200,000	$ 461,990
California	36,756,666	11.92%	$ 3,372,526	$ 200,000	$ 3,572,526
Colorado	4,939,456	1.60%	$ 453,209	$ 200,000	$ 653,209
Connecticut	3,501,252	1.14%	$ 321,250	$ 200,000	$ 521,250
Delaware	873,092	0.28%	$ 80,109	$ 200,000	$ 280,109
District of Columbia	591,833	0.19%	$ 54,302	$ 200,000	$ 254,302
Florida	18,328,340	5.94%	$ 1,681,676	$ 200,000	$ 1,881,676
Georgia	9,685,744	3.14%	$ 888,694	$ 200,000	$ 1,088,694
Hawaii	1,288,198	0.42%	$ 118,196	$ 200,000	$ 318,196
Idaho	1,523,816	0.49%	$ 139,814	$ 200,000	$ 339,814
Illinois	12,901,563	4.18%	$ 1,183,754	$ 200,000	$ 1,383,754
Indiana	6,376,792	2.07%	$ 585,088	$ 200,000	$ 785,088
Iowa	3,002,555	0.97%	$ 275,493	$ 200,000	$ 475,493
Kansas	2,802,134	0.91%	$ 257,104	$ 200,000	$ 457,104
Kentucky	4,269,245	1.38%	$ 391,715	$ 200,000	$ 591,715
Louisiana	4,410,796	1.43%	$ 404,703	$ 200,000	$ 604,703
Maine	1,316,456	0.43%	$ 120,789	$ 200,000	$ 320,789
Maryland	5,633,597	1.83%	$ 516,898	$ 200,000	$ 716,898
Massachusetts	6,497,967	2.11%	$ 596,207	$ 200,000	$ 796,207
Michigan	10,003,422	3.24%	$ 917,842	$ 200,000	$ 1,117,842
Minnesota	5,220,393	1.69%	$ 478,986	$ 200,000	$ 678,986
Mississippi	2,938,618	0.95%	$ 269,626	$ 200,000	$ 469,626
Missouri	5,911,605	1.92%	$ 542,406	$ 200,000	$ 742,406
Montana	967,440	0.31%	$ 88,765	$ 200,000	$ 288,765
Nebraska	1,783,432	0.58%	$ 163,635	$ 200,000	$ 363,635
Nevada	2,600,167	0.84%	$ 238,573	$ 200,000	$ 438,573
New Hampshire	1,315,809	0.43%	$ 120,729	$ 200,000	$ 320,729
New Jersey	8,682,661	2.82%	$ 796,658	$ 200,000	$ 996,658
New Mexico	1,984,356	0.64%	$ 182,070	$ 200,000	$ 382,070
New York	19,490,297	6.32%	$ 1,788,289	$ 200,000	$ 1,988,289
North Carolina	9,222,414	2.99%	$ 846,182	$ 200,000	$ 1,046,182
North Dakota	641,481	0.21%	$ 58,858	$ 200,000	$ 258,858
Ohio	11,485,910	3.72%	$ 1,053,864	$ 200,000	$ 1,253,864
Oklahoma	3,642,361	1.18%	$ 334,197	$ 200,000	$ 534,197
Oregon	3,790,060	1.23%	$ 347,749	$ 200,000	$ 547,749

Pennsylvania	12,448,279	4.04%	$ 1,142,164	$ 200,000	$ 1,342,164
Rhode Island	1,050,788	0.34%	$ 96,413	$ 200,000	$ 296,413
South Carolina	4,479,800	1.45%	$ 411,034	$ 200,000	$ 611,034
South Dakota	804,194	0.26%	$ 73,787	$ 200,000	$ 273,787
Tennessee	6,214,888	2.01%	$ 570,233	$ 200,000	$ 770,233
Texas	24,326,974	7.89%	$ 2,232,068	$ 200,000	$ 2,432,068
Utah	2,736,424	0.89%	$ 251,075	$ 200,000	$ 451,075
Vermont	621,270	0.20%	$ 57,003	$ 200,000	$ 257,003
Virginia	7,769,089	2.52%	$ 712,836	$ 200,000	$ 912,836
Washington	6,549,224	2.12%	$ 600,910	$ 200,000	$ 800,910
West Virginia	1,814,468	0.59%	$ 166,482	$ 200,000	$ 366,482
Wisconsin	5,627,967	1.82%	$ 516,382	$ 200,000	$ 716,382
Wyoming	532,668	0.17%	$ 48,874	$ 200,000	$ 248,874
Territories					
Puerto Rico	3,954,037	1.28%	$ 362,794	$ 200,000	$ 562,794
American Samoa	57,291	0.02%	$ 5,257	$ 200,000	$ 205,257
Guam	173,456	0.06%	$ 15,915	$ 200,000	$ 215,915
Northern Mariana Islands	84,546	0.03%	$ 7,757	$ 200,000	$ 207,757
U.S. Virgin Islands	108,448	0.04%	$ 9,950	$ 200,000	$ 209,950
Total	308,437,502	100.00%	$ 28,300,000	$ 11,200,000	$ 39,500,000

U.S. Census data: (http://www.census.gov/popest/states/tables/NST-EST2008-01.xls)

DOE F 4600.2
(5/09)
All Other Editions Are Obsolete

ATTACHMENT B

U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST AND INSTRUCTIONS

1. Identification Number: DE-FOA-0000091	2. Program/Project Title: Recovery Act - Enhancing State Government Energy Assurance Capabilities and Planning for Smart Grid Resiliency		
3. Recipient:			
4. Reporting Requirements: A. MANAGEMENT REPORTING	Frequency	No. of Copies	Addressees
☒ Progress Report ☐ Special Status Report	Q, F	**Upload only 1 copy to the address in the next column at the interval specified in the previous column.**	https://www.eere-pmc.energy.gov/SubmitReports.aspx
B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/elink) Report/Product — Form ☐ Final Scientific/Technical Report — DOE F 241.3 ☐ Conference papers/proceedings* — DOE F 241.3 ☐ Software/Manual — DOE F 241.4 ☐ Other (see Special Instructions) — DOE F 241.3 ** Scientific and technical conferences only*			http://www.osti.gov/elink-2413 http://www.osti.gov/elink-2413 http://www.osti.gov/estsc/241-4pre.jsp
C. FINANCIAL REPORTING ☒ **SF-425, Federal Financial Report**	Q, F		https://www.eere-pmc.energy.gov/SubmitReports.aspx
D. CLOSEOUT REPORTING ☐ **Patent Certification** ☒ **Property Certification** ☐ **Other (see Special Instructions)**	F		https://www.eere-pmc.energy.gov/SubmitReports.aspx
E. OTHER REPORTING ☒ Annual Indirect Cost Proposal ☐ Annual Inventory Report of Federally Owned Property, if any ☒ Other	A A		https://www.eere-pmc.energy.gov/SubmitReports.aspx
F. AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING ☒ Reporting and Registration Requirements	Q		http://www.federalreporting.gov

FREQUENCY CODES AND DUE DATES:
- A - Within 5 calendar days after events or as specified.
- F - Final; 90 calendar days after expiration or termination of the award.
- Y - Yearly; 90 days after the end of the reporting period.
- S - Semiannually; within 30 days after end of reporting period.
- Q - Quarterly; within 30 days after end of the reporting period.

5. Special Instructions: Forms are available at https://www.eere-pmc.energy.gov/forms.aspx.

Federal Assistance Reporting Instructions (2/09)

A. MANAGEMENT REPORTING

Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient

2. The project title and name of the project director/principal investigator.

3. Date of report and period covered by the report.

4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.

5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information

6. Cost Status. Show approved budget by budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.

7. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variance. You may use your own project management system to provide this information.

8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.

9. Actual or anticipated problems or delays and actions taken or planned to resolve them.

10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.

11. A description of any product produced or technology transfer activities accomplished during this reporting period, such as:

    a. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award.

- Web site or other Internet sites that reflect the results of this project.

- Networks or collaborations fostered.
- Technologies/Techniques.
- Inventions/Patent Applications.
- Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

C. FINANCIAL REPORTING

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at http://www.whitehouse.gov/omb/grants/grants_forms.aspx.

D. CLOSEOUT REPORTS

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at http://grants.pr.doe.gov.

E. OTHER REPORTING

Annual Indirect Cost Proposal and Reconciliation

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs.

Cognizant Agency. The recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving indirect costs. If the DOE awarding office is the cognizant agency, submit the annual indirect cost proposal to the address on the

Reporting Requirements Checklist.

F. AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (RECOVERY ACT) REPORTING

Refer to the award term entitled, Reporting and Registration Requirements, of the Special Terms and Conditions for Grants and Cooperative Agreements for details on the reporting requirements under Section 1512 of the Recovery Act. The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

ATTACHMENT C

PROJECT MANAGEMENT PLAN

{Agreement Title}[1]

{Date Prepared}

WORK PERFORMED UNDER AGREEMENT

DE-FC09-NT{xxxxx}

SUBMITTED BY

{Organization Name}

{Organization Address}

{City, State, Zip Code}

PRINCIPAL INVESTIGATOR

{Name}

{Phone Number}

{Fax Number}

{E-Mail}

SUBMITTED TO

U. S. Department of Energy

National Energy Technology Laboratory

{FPM Name}

{FPM Email}

[1]NOTE: { } denotes required information.

1. EXECUTIVE SUMMARY

Provide a description of the project that includes the objective, project goals and expected results. The summary should also include a succinct project background and project rationale. For purposes of the application, this information should be a summary of the pertinent information that is included in the Project Narrative (Field 7), so that the Project Management Plan is a stand-alone document.

2. RISK MANAGEMENT

The Applicant (Recipient) shall provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. Since risk is inherent to all projects, regardless of the level of complexity, cost or visibility, project risk must be addressed to the appropriate level for every project. It is recognized that the depth of analysis and the complexity and cost of the resulting risk management approach (and plan) will differ from project to project and among organizations. Commonly accepted approaches, such as those supported by The Project Management Institute's A Guide to the Project Management Book of Knowledge, should be considered.

As a minimum, the Recipient should provide sufficient information with the application to demonstrate an appropriate approach to managing risks during project execution. This must include the initial identification of significant technical, resource and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.

3. MILESTONE LOG

The Recipient is to provide milestones for the project. Each milestone is to include a title, planned completion date and a description of the method/process/measure used to verify completion. The milestones developed should be quantitative and show progression towards project goals. It is expected that the Recipient will have a milestone at least semi-annually or every six months of the project schedule: however, milestones should not be developed to meet this expected schedule. Milestones are different than success criteria (Section 6) in that milestones typically show progress through the execution of the project, whereas success criteria are used by the DOE to determine if specific goals were met the completion of the project.

Format for the milestone log should be as follows:

Title: {Milestone Title}

Planned Date: {Planned Completion Date}

Verification Method: {Milestone Verification Method}

4. FUNDING AND COSTING PROFILE

The Recipient shall provide a table that shows, by year, the amount of government funding going to each project member and cost share provided (if applicable) by members. The table shall also calculate totals and cost sharing percentages. Table 1 "Project Funding Profile" below is an example.

Table 1 – Sample Project Funding Profile

Budget Category	Year 1	Year 2	Total
Personnel			
Fringe Benefits			
Travel			
Equipment			
Supplies			
Contractual			
Other			
Total Direct Charges			
Indirect Charges			
Total			

The Recipient shall also provide a table that projects, by month, the expenditure of the government funds for each year. While it is recognized that out year costing profiles are less certain and the nature of specific tasks are dependent on successful or unsuccessful completion of the current approach, the Recipient should provide their estimates of out-year costs to the extent practical. Table 2 – "Project Spending Plan" provides an example.

Table 2 – Project Spending Plan

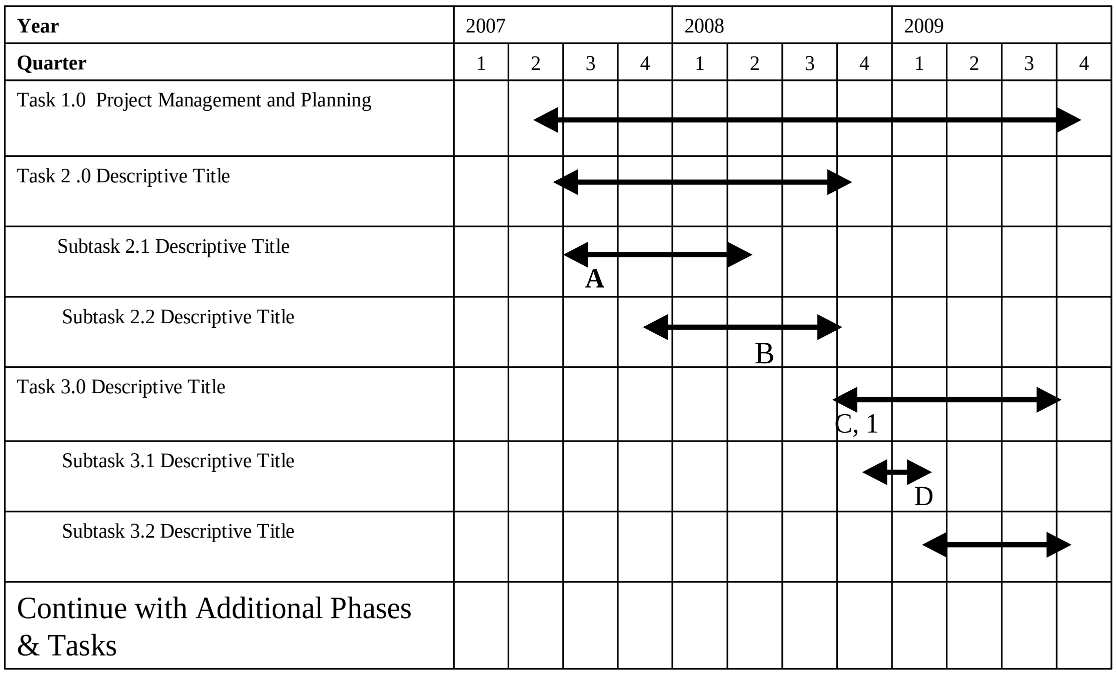
Monthly Spending Plan (Year 1)	
November	5
December	10
January	10
February	10
March	20
April	20
May	20
June	20
July	10
August	10
September	10
October	10
Total ($s in thousands)	**155**

Note: Create one spend plan for each year during the project period (actual starting month may be different than in the example). Cost sharing is not required for this grant. However, recipients may reflect non-federal funds in the Project Funding Profile and as a separate column in the Project Spending Plan, if applicable.

5. PROJECT TIMELINE

The Recipient shall provide a timeline of the project broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline shall include for each task, a start date, end date, approximate cost and team members participating on the task and their role. The timeline shall also show any interdependencies with other tasks and note the milestones identified in the Milestone Log (Section 3). It is highly recommended that the Recipient consider using a commercial software package to generate the timeline as a Gantt chart (see Figure 1 as an example) or other applicable format.

Figure 1 – Sample Project Timeline (Gantt Chart)



A, B, C etc. – Milestones from Milestone Log

1,2,3 etc – Decision Points

Note: Timelines for each task and subtask has an associated level of effort, typically budgeted cost

6. SUCCESS CRITERIA

The success criteria should correlate to the performance metrics in the Funding Opportunity Announcement. Usually, the success criteria pertain to desirable outcomes, results and observations from the experimental efforts. The success criteria should not be based on interpretations.

Success Criteria are different than milestones (Section 3) in that milestones typically show progress through the execution of the budget period and project, whereas success criteria are used by the DOE to determine if specific project goals and objectives were met. Typically, these goals and objectives represent requirements established by the program as evidence of progress in advancing a technology area or scientific/engineering knowledge.

7. AGREEMENT STATEMENT OF PROJECT OBJECTIVES

The Statement of Project Objectives (SOPO) from the Agreement will be inserted here. Note that Task 1.0 (or other designation) of the SOPO entails the work necessary to manage the project and to update the Project Management Plan submitted with the application. The Project Management Plan submitted as a work product under Task 1.0 (or other designation) serves as the base project cost, schedule and scope and is the basis for reporting quarterly progress in the Progress Report defined in the ”Federal Assistance Reporting Checklist and Instructions”