

MANAGEMENT REPORTING: Progress Report
Recovery Act – Energy Assurance Planning – State of Connecticut
October 22, 2010

Work Performed Under Agreement
DE-OE0000103

Submitted By
Office of Policy and Management – Connecticut
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Submitted To
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The State of Connecticut has been awarded a formulaic grant of \$521,500 from the U.S. Department of Energy (DOE) as part of the American Recovery and Reinvestment Act of 2009 (ARRA), for a project entitled “Enhancing State Government Energy Assurance Capabilities and Planning for Smart Grid Resiliency” (EA). The Connecticut Office of Policy and Management, housing the State’s Energy Office, is responsible for overseeing this grant award. The grant award requires a variety of reporting including, but not limited to, the submission of Management Progress Reports. These Management Progress Reports provide information on activities associated with the grant award during each calendar year quarter and are due to DOE no later than 30 days following the end of each calendar year quarter. Information and activities to be reported on are specified in DOE Funding Opportunity Announcement (FOA): Recovery Act – Enhancing State Government Energy Assurance Capabilities and Planning for Smart Grid Resiliency (DE-FOA-000091) and the associated DOE Assistance Agreement Award (Award): Recovery Act – Energy Assurance Planning – State of Connecticut (DE-OE0000103). This document serves as the State of Connecticut’s quarterly Management Progress Report to DOE.

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. DOE Award Number: **DE-OE0000103**
Name of Recipient: **Office of Policy and Management, Connecticut**
2. Project Title: **Recovery Act – Energy Assurance Planning – State of Connecticut**
Principal Investigator: **Raymond Wilson**
3. Date of Report: **10/22/2010 (due to DOE by 10/30/2010)**
Report Period Covered: **07/01/2010 – 09/30/2010**
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.

The main objectives/goals, as defined by DOE, of the Energy Assurance Planning (EA) project are to first, strengthen and expand State energy assurance planning and resiliency efforts; second, create jobs; and third, build-in house State energy assurance expertise. Additionally, the project will support the building of regional energy assurance capability to allow the State to better coordinate and communicate state-wide, and with other states, on energy security, reliability and emergency response issues. Achievement of these main objectives/goals will be accomplished through the completion of five major tasks/deliverables: a Project Management Plan (PMP); a Workforce Development Plan (WDP); an Energy Assurance Plan (EAP); an Energy Supply Disruption Tracking Process (ESDTP); and, Energy Assurance Exercises (EAE), both Intra-State and Inter-State and including After Action Reports (AAR).

Continue to work towards goals and objectives of the EA project. Development of the Initial EAP continues; and, development of the ESDTP concluded and the ESDTP was submitted to DOE in August 2010. WDP implementation continues and hiring for a new position is expected to be completed in October 2010.

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.

The Project budget, within awarded funds, was revised to accommodate hiring of replacement consultants for deceased consultant, Joe King. Attended initial meeting of towns involved in the DOE Local Energy Assurance Grant project. Conducted several review meetings that included CASE Project Team and OPM so that ESDTP could be finalized and delivered to DOE. Conducted meeting of Project Committee and Working Group to review draft EAP sections. Comments by stakeholders on each report section were consolidated for review by the CASE Project Management Team. Follow-up meeting to review and finalize EAP outline scheduled for October 4. Revised mitigation measure "template" based on discussion with OPM, and developed mitigation measure summary table for review. Delivered revised draft

Petroleum Section of Task 3 report to OPM for review. Completed revision of draft EAP sections (Authorities, Stakeholders, and Risk and Vulnerability) for OPM review. At close of quarter these draft sections are ready for transmittal to OPM. The remaining EAP sections (New and Emerging Technologies, Natural Gas and Electricity) for OPM review is in-process.

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.

The PMP (approved by DOE on November 10, 2009) will provide the basis for reporting schedule and budget variance for the duration of the EA project. The PMP includes a section titled: "Funding and Costing Profile (Budget)" that identifies budget categories and cost projections for the next three *project* years.

During this reporting period, there were actual contractual costs incurred for the EA project.

Table A below identifies budget categories and cost projections for the next three *project* years. Please note that costs shown in Table A were estimated by *project* years ranging from the beginning of the grant award period, August 2009, through the end of the grant award period, July 2012. For simplicity and for purposes of ongoing quarterly reporting for the next three years, these cost projections have been recalculated from *project* year to *calendar* year quarters as shown below in Table B.

Table B below provides the basis for reporting "approved budget by budget period costs" versus "actual costs incurred" by calendar year for the duration of the grant award.

Table C, D, E and F below present the actual costs incurred during each calendar year quarter versus the estimated costs that were projected for each of the whole calendar years of the project.

Table A: Project Funding Profile - Cost Element Projection (as estimated in the PMP for *Project* Years 1 - 3)

Budget Category	Project Year 1 (08/2009 - 07/2010)	Project Year 2 (08/2010 - 07/2011)	Project Year 3 (08/2011 - 07/2012)	Totals Projected
Personnel	\$ 20,300.00	\$ 40,600.00	\$ 40,600.00	\$ 101,500.00
Fringe	\$ 10,945.00	\$ 21,900.00	\$ 21,900.00	\$ 54,745.00
Travel	\$ 1,800.00	\$ 2,400.00	\$ 2,400.00	\$ 6,600.00
Equipment	\$ -	\$ -	\$ -	\$ -
Supplies	\$ 1,000.00	\$ 1,000.00	\$ 1,000.00	\$ 3,000.00
Contractual	\$ 110,500.00	\$ 89,375.00	\$ 102,050.00	\$ 301,925.00
Other	\$ -	\$ 2,500.00	\$ 2,500.00	\$ 5,000.00
Total Direct	\$ 144,545.00	\$ 157,775.00	\$ 170,450.00	\$ 472,770.00
Indirect	\$ 9,700.00	\$ 19,390.00	\$ 19,390.00	\$ 48,480.00
Grand Total	\$ 154,245.00	\$ 177,165.00	\$ 189,840.00	\$ 521,250.00

Table B: Project Funding Profile - Cost Element Projection (recalculated from *Project* Years to *Calendar* Years)

Budget Category	Calendar Year 1 (01/2009 - 12/2009)	Calendar Year 2 (01/2010 - 12/2010)	Calendar Year 3 (01/2011 - 12/2011)	Calendar Year 4 (01/2012 - 12/2012)	Totals Projected
Personnel	\$ -	\$ 37,485.00	\$ 40,610.00	\$ 23,405.00	\$ 101,500.00
Fringe	\$ -	\$ 20,210.00	\$ 21,895.00	\$ 12,640.00	\$ 54,745.00
Travel	\$ 450.00	\$ 1,950.00	\$ 2,400.00	\$ 1,800.00	\$ 6,600.00
Equipment	\$ -	\$ -	\$ -	\$ -	\$ -
Supplies	\$ 250.00	\$ 1,000.00	\$ 1,000.00	\$ 750.00	\$ 3,000.00
Contractual	\$ 58,305.00	\$ 109,370.00	\$ 84,805.00	\$ 49,445.00	\$ 301,925.00
Other	\$ -	\$ 1,000.00	\$ 1,500.00	\$ 2,500.00	\$ 5,000.00
Total Direct	\$ 59,005.00	\$ 171,015.00	\$ 152,210.00	\$ 90,540.00	\$ 472,770.00
Indirect	\$ -	\$ 17,900.00	\$ 19,395.00	\$ 11,185.00	\$ 48,480.00
Grand Total	\$ 59,005.00	\$ 188,915.00	\$ 171,605.00	\$ 101,725.00	\$ 521,250.00

Table C: Actual Costs Incurred: Calendar Year 1

Budget Category	1st Quarter (N/A)	2nd Quarter (N/A)	3rd Quarter (07/2009 - 09/2009)	4th Quarter (10/2009 - 12/2009)	Totals	
					Actual	Projected
Personnel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Fringe	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Travel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 450.00
Equipment	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Supplies	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 250.00
Contractual	\$ -	\$ -	\$ -	\$ 45,735.00	\$ 45,735.00	\$ 58,305.00
Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Direct	\$ -	\$ -	\$ -	\$ 45,735.00	\$ 45,735.00	\$ 59,005.00
Indirect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Grand Total	\$ -	\$ -	\$ -	\$ 45,735.00	\$ 45,735.00	\$ 59,005.00

Table D: Actual Costs Incurred: Calendar Year 2

Budget Category	1st Quarter (01/2010 - 03/2010)	2nd Quarter (04/2010 - 06/2010)	3rd Quarter (07/2010 - 09/2010)	4th Quarter (10/2010 - 12/2010)	Totals	
					Actual	Projected
Personnel	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ 37,485.00
Fringe	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ 20,210.00
Travel	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ 1,950.00
Equipment	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ -
Supplies	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ 1,000.00
Contractual	\$0.00	\$0.00	\$ 66,409.68	\$ -	\$ 66,409.68	\$ 109,370.00
Other	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ 1,000.00
Total Direct	\$0.00	\$0.00	\$ 66,409.68	\$ -	\$ 66,409.68	\$ 171,015.00
Indirect	\$0.00	\$0.00	\$ -	\$ -	\$ -	\$ 17,900.00
Grand Total	\$0.00	\$0.00	\$ 66,409.68	\$ -	\$ 66,409.68	\$ 188,915.00

Table E: Actual Costs Incurred: Calendar Year 3

Budget Category	1st Quarter (01/2011 - 03/2011)	2nd Quarter (04/2011 - 06/2011)	3rd Quarter (07/2011 - 09/2011)	4th Quarter (10/2011 - 12/2011)	Totals	
					Actual	Projected
Personnel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 40,610.00
Fringe	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 21,895.00
Travel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,400.00
Equipment	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Supplies	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,000.00
Contractual	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 84,805.00
Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,500.00
Total Direct	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 152,210.00
Indirect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 19,395.00
Grand Total	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 171,605.00

Table F: Actual Costs Incurred: Calendar Year 4

Budget Category	1st Quarter (01/2012 - 03/2012)	2nd Quarter (04/2012 - 06/2012)	3rd Quarter (07/2012 - 09/2012)	4th Quarter (10/2012 - 12/2012)	Totals	
					Actual	Projected
Personnel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 23,405.00
Fringe	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 12,640.00
Travel	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,800.00
Equipment	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Supplies	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 750.00
Contractual	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 49,445.00
Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,500.00
Total Direct	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 90,540.00
Indirect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 11,185.00
Grand Total	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 101,725.00

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.

The PMP (approved by DOE on November 10, 2009) will provide the basis for reporting milestones and those milestones' anticipated and actual completion dates. The "status" of the milestones listed below describes the completion level of the milestones as of 9/30/2010 for the reporting period from 07/1/2010 through 09/30/2010. Please note, the status is not a current representation of overall project status. Status descriptions include: Not Started, Less than 50% Completed; Completed 50% or More; and, Fully Completed. Additionally, although a milestone may be fully completed by submission of an item to DOE by a certain date, that item may continue to be a work in progress – e.g., even though the PMP was approved by DOE on 11/10/2009, it is anticipated the PMP will continue to be modified and resubmitted to DOE for the duration of the project.

Milestones	Status	Anticipated Completion Date	Actual Completion Date
Task 1.0: Submit PMP to DOE	Fully Completed	10/11/2009	11/09/2009
Task 2.0: Submit WDP to DOE	Fully Completed	11/10/2009	11/09/2009
Task 3.0: Submit INITIAL EAP to DOE	Less than 50% Completed	02/12/2011	To Be Determined
Task 3.0: Submit FINAL EAP to DOE	Not Started	08/14/2012	TBD
Task 4.0: Submit ESDTP to DOE	Fully Completed	08/12/2010	08/10/2010
Task 5.1: Participate in EAE-INTRA-State for DOE	Not Started	08/12/2011	TBD
Task 5.1a: Submit EAE-INTRA-State-AAR to DOE	Not Started	09/12/2011	TBD
Task 5.2: Participate in EAE-INTER-State for DOE	Not Started	02/12/2012	TBD
Task 5.2a: Submit EAE-INTER-State-AAR to DOE	Not Started	03/12/2012	TBD

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.
No changes in the approach or aims have been made to the project.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
There have not been, nor are anticipated, any actual problems or significant delays for the project.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
There have been changes of personnel to the project. Project consultant Joe King passed away unexpectedly. Mr. King had the principal project responsibility for drafting the Task 4 effort. Selected replacement consultants for the CASE project management: Ed Mrocza, retired Northeast Utilities executive; and Joel Severance, Emergency Management Director, Town of Chester.
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 Program Manager identified in Block 15 of the Assistance Agreement Cover Page.
No publications to report at this time.
- B. Web site or other Internet sites that reflect the results of this project.
Information regarding this project can be viewed at the following State of Connecticut Internet site: <http://www.ct.gov/opm/cwp/view.asp?a=2994&Q=444268&PM=1>
- C. Networks or collaborations fostered.
No networks or collaborations to report at this time.
- D. Technologies/Techniques.
No technologies to report at this time.
- E. Inventions/Patent Applications
No inventions/patent applications to report at this time.
- F. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
No other products to report at this time.