

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

* 2. Type of Application:

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

* Other (Specify)

* 3. Date Received:

Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Connecticut Office of Policy and Management

* b. Employer/Taxpayer Identification Number (EIN/TIN):

06-6000798

* c. Organizational DUNS:

807853015

d. Address:

* Street1: 450 Capitol Avenue, MS 52ENR

Street2:

* City: Hartford

County:

* State: CT: Connecticut

Province:

* Country: USA: UNITED STATES

* Zip / Postal Code: 06106-1379

e. Organizational Unit:

Department Name:

Office of Policy and Managemen

Division Name:

Policy Development and Plannin

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Mr.

* First Name:

Raymond

Middle Name:

* Last Name: Wilson

Suffix:

Title: Director

Organizational Affiliation:

* Telephone Number: 860-418-6441

Fax Number:

* Email: raymond.wilson@ct.gov

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9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

* 10. Name of Federal Agency:

National Energy Technology Laboratory

11. Catalog of Federal Domestic Assistance Number:

81.122

CFDA Title:

Electricity Delivery and Energy Reliability, Research, Development and Analysis

* 12. Funding Opportunity Number:

DE-FOA-0000091

* Title:

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

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Entire state, with primary grant activities in Hartford county.

* 15. Descriptive Title of Applicant's Project:

Emergency Planning and Coordination Development with emphasis on Smart Grid planning.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

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16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="521,250.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="521,250.00"/>

* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

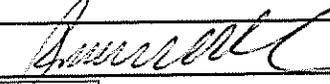
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative: 

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

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*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

[Empty text input area for Applicant Federal Debt Delinquency Explanation]

Project/Performance Site Location(s)

Project/Performance Site Primary Location I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Project/Performance Site Location 1 I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

US DOE Funding Opportunity DE-FOA-0000091
Project Narrative File
State of Connecticut – Office of Policy and Management, Energy Division

The State of Connecticut, Office of Policy and Management (OPM) intends to use this grant of \$521,250 for the purposes of updating the State's energy emergency plan, improving in-house capabilities to implement such plan, improving the capability to monitor energy markets and supplies, and to identify and prepare for pre-emptive actions to help mitigate pending emergencies or fuel shortages.

OPM has been designated by State statute as the state agency responsible for the development and implementation of the State's Energy Emergency Plan. In addition, OPM is responsible for administration of the plans actions during the time of a declared energy emergency. Other state agencies, particularly the Department of Emergency Management and Homeland Security and the Department of Public Utility Control also have potential roles to fulfill depending the nature of the energy emergency that Connecticut would be facing. OPM intends to work with these other agencies to incorporate technological and informational updates to the emergency plans and protocols for which they have primary responsibilities under this grant award.

Upon receiving the approval of and the grant award from the US DOE, OPM will engage the services of a consultant firm to assist in executing tasks 1.0-5.0. The consultant firm will need to be experienced in the field of Energy Emergency Planning; its credentials would be evaluated, and once chosen the firm would become engaged immediately on the project. OPM staff will provide the necessary consultant oversight and overall grant administration. However, the consultant will do the bulk of the initial "on the ground work".

Task 1.0, Development of a Project Management Plan- the consultant would prepare the following with OPM guidance. Within sixty days of receiving the grant award, an extensive and comprehensive Project Management Plan, including a budget, would be prepared to address how the State of Connecticut should go about executing the other listed tasks (2.0-5.0) under this grant. Some of the items addressed in the Project Management Plan would include building in-house expertise on Emergency Planning, new staff hires, creating a new or revising the old CT Energy Emergency Plan, and a budget for all tasks to be completed within the three year timeline of this grant.

A preliminary budget is as follows:

- \$200,000 – outside consulting fees and related costs
- \$225,000 – reserve for new staff hires (salary, fringe, indirect for a 2 ½ year period)
- \$50,000 – reserve for "emergency exercise" related costs (possibly grants to other state agencies, outside vendor costs, etc)
- \$46,250 – reserve for administrative and/or unexpected costs.

Task 2.0, Development of a Workforce Development Plan- the consultant would prepare the following with OPM guidance. Within ninety days of receiving the grant award, a plan would

be prepared to train current staff and possibly hire new staff at OPM. The goal of this plan is clearly to build in-house expertise on energy emergency planning, monitoring, and implementation. It is essential to have a reserve of skills and staff on-hand before, during, and after an actual emergency. Staff at OPM will be trained to support the Governor's Office, other state agencies, and the general public during an actual emergency.

The Workforce Development Plan will contain many specifics, however there are some key items that the staff must be trained on and thus expected to incorporate into their daily job duties. Of specific concern for the State of Connecticut are cyber security, Smart Grid applications, critical infrastructure interdependencies, energy supply systems, energy data analysis, and communications. The Workforce Development Plan should be created with Task 4.0 in mind, as it is OPM staff and new hires that will be responsible for acquiring the skills required for Energy Supply Distribution Tracking. Training will be developed to adequately prepare OPM staff to take on the items in Task 4.0 as part of their daily job duties.

Both the Project Management Plan and the Workforce Development Plan will be maintained by the consultant firm and updated in reaction to events that transpire throughout the three-year period of the grant award.

Task 3.0, Revision of the State of Connecticut's Energy Assurance Plan- the consultant would prepare the following with OPM guidance. As noted, OPM is statutorily responsible for the creation and maintenance of the State's Energy Emergency Plan. This plan was last updated in 1994. This grant will be used in part to provide for a much-needed update to the plan.

Within 18 months of the grant award date, a thoroughly updated plan will be produced in draft form. This plan will be created along the guidelines set forth by the National Association of Energy Officials (NASEO) and will reflect many of the changes seen in the energy industry over the past fifteen years, in addition to some of the specific requirements of the grant. These include new energy portfolios such as renewable energy and Smart Grid technology. An update of the Connecticut plan will be specific with consideration of unique vulnerabilities, supply and demand issues, infrastructure interdependencies, cyber security, and communications that New England as a region and Connecticut as a state face.

Connecticut's revised plan will place a new emphasis on pre-empting emergencies before they occur. In this spirit, the Governor's current energy conservation and reduction plan will be incorporated into the plan, as well as having discussions with the Governor's office and the Connecticut Legislature about Energy Emergency Planning. At the bare minimum, the Plan will acknowledge that reducing demand and increasing availability are essential policy goals for pre-empting energy emergencies.

Task 4.0, Development of an Energy Supply Disruption Tracking Process- the consultant would prepare the following with OPM guidance. Within twelve months of receiving the grant award, the consultant will evaluate the State's current energy emergency monitoring

efforts and prepare a report making recommendations on how to improve the process and system for both tracking information in advance of an emergency situation as well as tracking information during and following any such situations. This report should be developed along side the Workforce Development Plan so that any staff training coincides with the eventual tracking process that is put in place, and any staff involved with tracking is competent at using hardware and doing energy data analysis.

The final report will be specific to Connecticut, keeping in mind the specific challenges that New England as a region, and Connecticut as a state face with consideration to supply and demand for energy. As each state's energy infrastructure is unique, it would be unwise to create a generic tracking process that does not take into account the State of Connecticut's situation which is uniquely affected by many factors such as weather, location, pipelines, ports, etc.

OPM sees this task as a critical part of a successful Energy Emergency Plan. Continuous and thorough data tracking and analysis is necessary to execute a plan, while also actually helping citizens of the State through the crisis. OPM, through its tracking and analytical processes, will become a clearinghouse for the State when it comes to information on Connecticut's energy.

Task 5.0, Intra and inter-state energy assurance exercises- it would be the consultant firm's task, with OPM guidance to execute the following. Within twenty-four months of receiving the grant award, an intra-state energy assurance exercise drill will be performed. This drill will involve all of the state agencies, industry leaders, and other players as necessary to simulate an actual energy emergency. Through successful completion of this drill, OPM will better understand its own processes and the Energy Emergency Plan created under this grant award. A revision will occur to any such processes or the Plan if necessary and a report on the drill will be generated within thirty days after its completion.

Within thirty months of the grant award, OPM will contact other regional states accepting this same grant, to perform an inter-state coordinated energy emergency. This drill will be useful in as far as it will reveal problems faced by states when an energy crisis is large enough to be a regional or national issue. Similarly to the first drill, all state agencies, industry leaders, and other players will be involved, along with other neighboring states. A report on the success of this drill will be generated after thirty days of completion, and any revisions to processes within the State, or to the Energy Emergency Plan will be made.

U S DOE Funding Opportunity DE-FOA-0000091
Project Summary/Abstract

OPM is statutorily responsible for creating/maintaining the State's energy emergency plan. It was last updated in 1994. The Department of Emergency Management and Homeland Security (DEMHS) also has some responsibilities as it relates to the energy sectors under more generic emergency situations. This funding will provide for a much-needed update to the OPM plan and more coordinated planning with DEMHS.

OPM/Energy does not currently have in place sufficient staff to undertake these types of significant and ongoing work tasks. OPM will retain the services of an expert consultant who would be tasked with the following:

1. Prepare, with appropriate OPM oversight, the Project Management Plan no later than 60 days after the award has been made. Consultant will be responsible for keeping the work flow on task according to this plan and making appropriate changes as may be necessary over the 3-year period.
2. Prepare, with appropriate input from OPM, the Workforce Development Plan, within 90 days of the grant award. This plan will delineate the types of new staff that may be needed to fulfill the grant specification on "developing in-house expertise". This plan will also review existing staffing at OPM and other agencies where some responsibilities for energy emergencies may rest (DPUC, DEMHS, DPS) to make recommendations regarding the development of a training program that encompasses both new and existing staff. This plan will detail the timeline for both training and hiring of any new staff resources.
3. Prepare a revision to the State's 1994 Energy Emergency Plan. Such revision will include any necessary inclusions as detailed by DOE in the Grant Award.
4. Evaluate current energy emergency monitoring efforts and prepare a report making recommendations on an improved process and system for both tracking information in advance of an emergency situation as well as tracking information during and following any such situations.
5. Prepare and coordinate the required energy emergency "exercises".

OPM/Energy staff will provide the necessary consultant oversight and overall grant administration. The bulk of the "on the ground work" will be done by the consultant and new OPM hires. The consultant and new hires will work hand-in-hand with the existing OPM staff to develop in-house expertise.

Proposed Budget

The Grant Award to OPM will be \$521,250 to be roughly spent as follows:

- \$200,000 – outside consulting fees and related costs
- \$225,000 – reserve for new staff hires (salary, fringe, indirect for a 2 ½ year period)
- \$50,000 – reserve for "emergency exercise" related costs (possibly grants to other state agencies, outside vendor costs, etc)
- \$46,250 – OPM administrative costs



STATE OF CONNECTICUT
Office of Policy and Management

Davis Bacon Act Requirements

The Office of Policy and Management will incorporate into all sub-grant awards made under this application language that will ensure compliance as may be necessary with Davis Bacon Act requirements.

To the extent necessary, additional reporting requirements will be incorporated to document compliance with applicable federal law.

Raymond L. Wilson
Director – Energy Research & Policy Development
7/27/2009

A handwritten signature in black ink, appearing to read 'Raymond L. Wilson', written over a horizontal line.