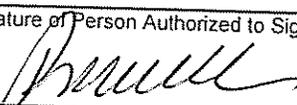


NOT SPECIFIED /OTHER

ASSISTANCE AGREEMENT

1. Award No. DE-EE0000372		2. Modification No. 001	3. Effective Date 06/24/2009	4. CFDA No. 81.041
5. Awarded To OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379		6. Sponsoring Office NETL - Pittsburgh U.S. Department of Energy NETL 626 Cochrans Mill Road P.O. Box 10940 Pittsburgh PA 15236-0940		7. Period of Performance 04/30/2009 through 04/30/2012
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority 31 USC 6304 10 USC 2358 See Page 2		10. Purchase Request or Funding Document No. 09EE001822	
11. Remittance Address OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379		12. Total Amount Govt. Share: \$38,542,000.00 Cost Share : \$1,006,200.00 Total : \$39,548,200.00		13. Funds Obligated This action: \$15,416,800.00 Total : \$19,271,000.00
14. Principal Investigator John A Ruckes Phone: 860-418-6384		15. Program Manager Teresa W. Jones Phone: 304-285-4057		16. Administrator NETL - Pittsburgh U.S. Department of Energy NETL 626 Cochrans Mill Road P.O. Box 10940 Pittsburgh PA 15236-0940
17. Submit Payment Requests To Payment - Direct Payment from U.S. Dept of Treasury		18. Paying Office		19. Submit Reports To
20. Accounting and Appropriation Data				
21. Research Title and/or Description of Project RECOVERY STATE ENERGY PROGRAM STATE OF CONNECTICUT				
For the Recipient		For the United States of America		
22. Signature of Person Authorized to Sign 		25. Signature of Grants/Agreements Officer Signature on File		
23. Name and Title Robert L. Giovanni, Secretary		24. Date Signed 7/14/09	26. Name of Officer LISA A. KUZNIAR	27. Date Signed 06/24/2009

NOT SPECIFIED /OTHER

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0000372/001

PAGE OF
2 | 3

NAME OF OFFEROR OR CONTRACTOR
OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT STATE OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	DUNS Number: 807853015 Project Period: 04/30/2009 - 04/30/2012 Budget Period: 04/30/2009 - 04/30/2012 DOE Award Administrator: Janet Laukaitis Janet.Laukaitis@netl.doe.gov (412)386-5173 Recipient Business Point of Contact: John A Ruckes john.ruckes@ct.gov 860-418-6384 PL 95-91 DOE Organization Act, PL 111-5 American Recovery and Reinvestment Act of 2009 and PL 109-58 Energy Policy Act of 2005 ASAP: Yes Extent Competed: NOT AVAIL FOR COMP Delivery: 04/30/2012 Delivery Location Code: 02601 NETL - Pittsburgh U.S. Department of Energy NETL 626 Cochrans Mill Road Pittsburgh PA 15236-0940 Payment: Payment - Direct Payment from U.S. Dept of Treasury Fund: 05798 Appr Year: 2009 Allottee: 31 Report Entity: 220540 Object Class: 41000 Program: 1004901 Project: 2004370 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0331				

The purpose of this modification is to obligate funds, revise Special Terms and Conditions, revise the Reporting Requirements Checklist, and incorporate Budget Pages and SEP Narrative Information Worksheets into the grant award.

Accordingly, the grant is modified as follows:

1. As reflected in Block 13 of the assistance agreement cover page, this modification obligates Federal funds in the amount of \$15,416,800, increasing the total DOE obligations from \$3,854,200 to \$19,271,000.
2. The “Special Terms and Conditions for Use in Most Grants and Cooperative Agreements” are hereby deleted in their entirety and replaced with the revised Special Terms and Conditions for Use in Most Grants & Cooperative Agreements attached hereto. The revisions are summarized as follows:
 - “Authorized Activities” provision is hereby deleted in its entirety;
 - “NEPA” provision is hereby revised to identify prohibited activities;
 - “Recovery Act Special Provisions” is hereby deleted in its entirety;
 - The following provisions are hereby incorporated into the grant award:
 - Special Provisions Relating to Work Funded Under American Recovery and Reinvestment Act of 2009
 - Reporting and Registration Requirements Under Section 1512 Of The Recovery Act
 - Required Use Of American Iron, Steel, And Manufactured Goods (Covered Under International Agreements)—Section 1605 Of The American Recovery And Reinvestment Act Of 2009
 - Wage Rate Requirements Under Section 1606 Of The Recovery Act
 - Recovery Act Transactions Listed in Schedule of Expenditures Of Federal Awards And Recipient Responsibilities For Informing Subrecipients
3. Attachment 2, Federal Assistance Reporting Checklist is hereby deleted in its entirety and replaced with the attached Federal Assistance Reporting Checklist. The attached checklist has been revised to incorporate Section F, American Recovery and Reinvestment Act Reporting.
4. Attachment 3, Budget Page(s) is hereby revised to incorporate the attached Budget Page(s) for the grant award.
5. Attachment 4, SEP Narrative Worksheets, is hereby revised to incorporate the attached SEP Narrative Information Worksheets for the grant award.
6. Except as provided herein, all other terms and conditions remain the same and in full force and effect.

End of Modification 001

ATTACHMENT 2

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

1. Identification Number: DE-EE0000372	2. Program/Project Title: Recovery Act – State Energy Program																	
3. Recipient: State of Connecticut																		
4. Reporting Requirements: A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Special Status Report	Frequency Q,F	No. of Copies Electronic Version	Addressees See Note 1															
B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/eliink) <table style="width: 100%; border: none;"> <tr> <td style="width: 30%;">Report/Product</td> <td style="width: 30%;">Form</td> <td style="width: 40%;"></td> </tr> <tr> <td><input type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE F 241.3</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Conference papers/proceedings*</td> <td>DOE F 241.3</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Other (see Special Instructions)</td> <td>DOE F 241.3</td> <td></td> </tr> </table> * Scientific and technical conferences only	Report/Product	Form		<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3		<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3		<input type="checkbox"/> Software/Manual	DOE F 241.4		<input type="checkbox"/> Other (see Special Instructions)	DOE F 241.3				
Report/Product	Form																	
<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3																	
<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3																	
<input type="checkbox"/> Software/Manual	DOE F 241.4																	
<input type="checkbox"/> Other (see Special Instructions)	DOE F 241.3																	
C. FINANCIAL REPORTING <input checked="" type="checkbox"/> SF-425, Federal Financial Report	Q, F	Electronic Version	See Note 1															
D. CLOSEOUT REPORTING <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other (see Special Instructions)	F	Electronic Version	See Note 2															
E. OTHER REPORTING <input checked="" type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory Report of Federally Owned Property, if any <input type="checkbox"/> Other	A	Electronic Version	See Text															
F. AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING <input checked="" type="checkbox"/> Reporting and Registration Requirements	A	Electronic Version	http://www.federalreporting.gov															
FREQUENCY CODES AND DUE DATES: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A - Within 5 calendar days after events or as specified.</td> <td style="width: 50%;">S - Semiannually; within 30 days after end of reporting period.</td> </tr> <tr> <td>F - Final; 90 calendar days after expiration or termination of the award.</td> <td>Q - Quarterly; within 30 days after end of the reporting period.</td> </tr> <tr> <td>Y - Yearly; 90 days after the end of the reporting period.</td> <td></td> </tr> </table>				A - Within 5 calendar days after events or as specified.	S - Semiannually; within 30 days after end of reporting period.	F - Final; 90 calendar days after expiration or termination of the award.	Q - Quarterly; within 30 days after end of the reporting period.	Y - Yearly; 90 days after the end of the reporting period.										
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F - Final; 90 calendar days after expiration or termination of the award.	Q - Quarterly; within 30 days after end of the reporting period.																	
Y - Yearly; 90 days after the end of the reporting period.																		
5. Special Instructions: Forms are available at https://www.eere-pmc.energy.gov/forms.aspx . <ol style="list-style-type: none"> 1. Submit Reports (or provide email notification of WinSAGA entry) to the DOE Project Officer. 2. The Recipient must provide the Property Certification, including the required inventories of non-exempt property, located at: https://grants.pr.doe.gov. A signed copy of the Property Certification shall be submitted in PDF format to the NETL Property Administrator at the following address: Property.Administrator@netl.doe.gov. 																		

Federal Assistance Reporting Instructions (5/09)

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 Program Manager identified in Block 15 of the Assistance Agreement Cover Page.
- B. Web site or other Internet sites that reflect the results of this project.
- C. Networks or collaborations fostered.
- D. Technologies/Techniques.
- E. Inventions/Patent Applications
- F. 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 DOE Administrator at the address listed in Block 16 of the Assistance Agreement Cover Page.

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.

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. Amendment number:	TO12569 A000	2. Program/Project Title State Energy Program
3. Name and Address	Connecticut Office of Policy a 450 Capital Avenue MS 52 ENR Hartford CT 06106-1379	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE	81.041	\$ 0.00		\$ 38,542,000.00		\$ 38,542,000.00
2. GRANTEE			\$ 0.00		\$ 0.00	\$ 0.00
3. OTHER			\$ 0.00		\$ 346,200.00	\$ 346,200.00
4. UTILITY			\$ 0.00		\$ 660,000.00	\$ 660,000.00
5. TOTALS		\$ 0.00	\$ 0.00	\$ 38,542,000.00	\$ 1,006,200.00	\$ 39,548,200.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Utility Companies	(2) OTHER (ratepayer funds thru	(3) DOE	(4)	
a. Personnel	\$ 0.00	\$ 0.00	\$ 137,275.68		\$ 137,275.68
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 74,019.06		\$ 74,019.06
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 7,642.39		\$ 7,642.39
f. Contractual	\$ 660,000.00	\$ 346,200.00	\$ 38,250,000.00		\$ 39,256,200.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 7,500.00		\$ 7,500.00
i. Total Direct Charges	\$ 660,000.00	\$ 346,200.00	\$ 38,476,437.13		\$ 39,482,637.13
j. Indirect Charges	\$ 0.00	\$ 0.00	\$ 65,562.87		\$ 65,562.87
k. Totals	\$ 660,000.00	\$ 346,200.00	\$ 38,542,000.00		\$ 39,548,200.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00		\$ 0.00

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: ARRA Administration

1. Market (choose one):

<input type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input checked="" type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input checked="" type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling .
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input checked="" type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 0.00 MBtus

6. Description (executive summary of goals and objectives)* :

OPM staff will oversee sub-recipient agreements and ensure timely reporting as required under ARRA. This may include field visits to sub-recipients to ensure compliance with ARRA requirements. Staff will collect and compile reports for submittal to the Dept. of Energy. We do not expect any new jobs as a result of these funds.

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Quarterly Progress reports	12
2	Field inspections	24

8. Standard metrics (required)**

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: ARRA Administration

JOB METRICS	Planned
Jobs Created	0
Jobs Retained	0
Total Jobs	0

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Special exception: No metrics for this activity	
No metrics for this activity	
Exempt from metric reporting	Yes

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$292,000.00
Other	
Utility companies	
Market Budget Total	\$292,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Building Code Training & Compliance

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling-
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input checked="" type="checkbox"/> Residential buildings
<input checked="" type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input checked="" type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input checked="" type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 152,000,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET
(Grant Number: EE00372)**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

Market Title: Building Code Training & Compliance

The State Building Inspector and the Codes and Standards Committee will continue the process of adopting the 2009 International Energy Conservation Code (IECC) Code including adoption of the ANSI/ASHRAE/IESNA Standard 90.1-2007.

The update of the Energy Code portion of the State Building Code to the 2009 IECC including and Connecticut Amendments will meet or exceed the 2009 IECC and ANSI/ASHRAE/IESNA Standard 90.1-2007 code requirements for residential buildings and commercial buildings

The Office of Education and Data Management (OEDM) will be responsible for the development, coordination, sponsorship and presentation of Energy Code training programs throughout the state for the new updated to the Energy Portion of the State Building Code.

The Connecticut Building Code Enforcement Pre-Licensure Training Program shall be revised to incorporate requirements from the American Recovery Act and Reinvestment Act of 2009 along with the updated 2009 IECC and ASHRAE 90.1-2007.

The Connecticut Building Code Enforcement Licensure Examination and Test Banks will be updated with questions associated with the 2009 IECC and ASHRAE 90.1-2007.

OEDM will continue to work with, establish partnerships with organizations such as the Connecticut Institute for Sustainable Energy, Northeast Energy Efficiency Partnerships, Inc., AIA Connecticut, professional construction associations and building trade associations/unions, to promote the knowledge and understanding associated with the implementation of and compliance with the Energy Code portion of the State Building Code.

OEDM will work with the local building code enforcement officials, potential partners, and other Connecticut State Agencies in developing an annual measurement system that will incorporate the evaluation of the rate of compliance with the Energy Code portion of the State Building Code. Implementation of this IECC 2009 code is anticipated for late 2011.

Mandatory Measure-
Through the adoption and implement of the updates to the Energy Code Portion of the State Building Code mandatory thermal efficiency standards for new and renovated buildings will continue in the State of Connecticut.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	State Building Inspector and the Codes and Standards Committee meetings to develop and adopt the updated Energy Codes	8
2	Implementation of the updated Energy Code Portion of the State Building Code including 2009 IECC in late 2011.	1
3	Distribution of a baseline needs assessment and energy code compliance survey to the 169 local Connecticut building official offices including the development of survey and analysis of results.	169
4	Update OEDM Energy Code Training Programs using new energy conservation code and information from the baseline needs assessment.	1
5	Energy Code related training programs offered to building officials, design professionals, construction trade professionals and the construction industry.	24
6	Evaluation of updated energy code training programs and modification as needed.	24
7	Distribution of a year end needs assessment and energy code compliance survey to the 169 local Connecticut building official offices including the development of survey and analysis of results	169
8	Development of an annual measurement system that will incorporate the evaluation of the rate of compliance with the Energy Code portion of the State Building Code.	1

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	0
Jobs Retained	5
Total Jobs	5

9. Specific metric activity (required)**

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Building Code Training & Compliance

SPECIFIC METRICS	Planned
Building Codes and Standards	
Building code adoption	
New and existing buildings covered by new code (IECC 2006: IECC 2009)	28,700

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$300,000.00
Other	
Utility companies	
Market Budget Total	\$300,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Building Operator Training

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input checked="" type="checkbox"/> Federal, state and local facilities	<input checked="" type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling-
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input checked="" type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input checked="" type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input checked="" type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input checked="" type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input checked="" type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 49,400,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

The BOC (Building Operators Certification) course provides training to building facilities management personnel to help them improve operations, and includes strong energy and water savings components.

BOC Training consists of Level 1 (eight full-day sessions) and Level 2 (seven full-day sessions). We will offer both Level 1 and Level 2 (The number of each TBD).

Over the next 3 years a total of 7 training courses will be provided, with 30 participants for each training session, or around 210 students. It would be made available to State and Municipal Employees.

7. Program Year Milestones* :

Milestone	Planned (Number)
1 # of BOC Courses	7

8. Standard metrics (required)**

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Building Operator Training

JOB METRICS	Planned
Jobs Created	0
Jobs Retained	3
Total Jobs	3

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Workshops, Training, and Education	
Workshops, training, and education sessions, by sector	
Number of workshops, training, and education sessions held (INSTITUTIONAL)	7
Number of people attending (INSTITUTIONAL)	210

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$250,000.00
Other	
Utility companies	
Market Budget Total	\$250,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

U.S. Department of Energy STATE ENERGY PROGRAM (SEP) NARRATIVE INFORMATION WORKSHEET

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Clean Cities

1. Market (choose one):

<input type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input checked="" type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input checked="" type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input checked="" type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling.
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input checked="" type="checkbox"/> Clean Cities	<input checked="" type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 0.00 MBtus

6. Description (executive summary of goals and objectives)* :

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Clean Cities

The Clean Cities program focuses on the utilization of petroleum reduction technologies in the transportation sector. This includes alternatively fueled vehicles and infrastructure, idling reduction technologies, and education and outreach on these technologies. There are four designated Clean Cities Coalitions in Connecticut: Greater New Haven, Clean Cities of Southwestern Connecticut, Norwich Clean Cities, and Capital Clean Cities. The SEP-ARRA Recovery will provide support to all four coalitions to enable them to continue to facilitate the growth of alternate fuels and petroleum reducing technologies in Connecticut and expand the alternative fuel infrastructure. Funds will not be used to purchase vehicles or for construction of infrastructure. The grant shall support the following types of activities:

- o Provide technical and non-technical information to fleets, government agencies, and individuals on alternatively fueled vehicles, fuel blends, hybrid electric vehicles, idle reduction, fuel economy, and emerging technologies.
- o Conduct outreach activities relating to the information areas in the first bullet. This would include advertising, media events, literature distribution, legislation, meetings, websites, newsletters, and/or stakeholder/educational/networking events (such as Advance the Choice).
- o Provide information and assistance on grants, incentives and opportunities for funding; and assist with creating partnerships with individuals and coalition members to facilitate progress in advancing petroleum reduction, replacement, or elimination.
- o Provide information and points of contact for laws, regulations, and certifications required for alternatively fueled vehicles and alternative fuels.
- o The establishment of partnerships for individuals, governments, organizations, and fleet operators to develop new ventures and initiatives related to expansion of the use of alternative fuels and alternatively fueled vehicles.
- o Exchange of information with experts from industry, the National Laboratories, universities, and other entities involved in alternative fuels
- o Exchange of information among Clean Cities Coalitions and stakeholders in Connecticut, Rhode Island New York etc.
- o Attendance at required DOE and coordinator development meetings.

There are no calculable annual energy savings associated with this measure. Gasoline and diesel fuels are displaced with alternative fuels such as compressed natural gas, but efficiencies of vehicle engines are not necessarily improved.

7. Program Year Milestones* :

Milestone		Planned (Number)
1	# of alternatively fueled vehicles placed in service	50
2	# of fueling infrastructure additions/improvements	3
3	# of outreach meetings conducted	12
4	Grants put into place between CT Office of Policy and Management and Clean Cities coalitions	4

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	0
Jobs Retained	2
Total Jobs	2

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Transportation	
Alternative fuel vehicles purchased	50
Vehicles purchased	
New alternative refueling stations emplaced	3
Stations emplaced	

10. User specified metrics (optional)*

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Clean Cities

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$200,000.00
Other	
Utility companies	
Market Budget Total	\$200,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Energy Opportunities-Commercial and Industrial

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input checked="" type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling .
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input checked="" type="checkbox"/> General energy efficiency for industry	<input type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input checked="" type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input checked="" type="checkbox"/> Industrial processing	<input checked="" type="checkbox"/> Traffic signals
<input checked="" type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input checked="" type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input checked="" type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input checked="" type="checkbox"/> Manufacturing	<input checked="" type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 185,580,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Energy Opportunities-Commercial and Industrial

The Energy Opportunities (EO) program helps businesses maximize electric, oil, and natural gas savings. The objective of this program is to improve the energy efficiency of a customer's existing facility by capturing retrofit opportunities. These opportunities are realized by: 1) exchanging functioning yet inefficient equipment with high-efficiency equipment; 2) retrofitting existing equipment with energy-saving devices, modifications, or controls; and 3) improving a facility's performance.

This program is available on a first-come first-served basis to larger commercial and industrial customers (those on a commercial or industrial rate). The utility works with customers to identify energy saving opportunities at the facility. Zero percent financing and incentives for efficient equipment are offered. Technologies are not limited by the program but typically include the following.

Lighting: T5 and T8 florescent fixtures, high-performance, hard-wired compact florescent fixtures, pulse-start metal halide fixtures, daylight controls, automatic dimming/occupancy sensors;

HVAC: Natural gas or oil furnaces, boilers and unit heaters, boiler reset controls, chillers, rooftop or split-system AC equipment, premium motors and variable-speed drives (fans/pumps), differential enthalpy economizer controls, CO2 controls, energy management systems, programmable thermostats;

Refrigeration: Ammonia refrigeration systems, mechanical sub-coolers, evaporator controls, oversized condensers, high-speed cooler/freezer doors;

Water Heating: Natural gas indirect water heaters, natural gas on-demand tankless water heaters;

Process Related Equipment: Premium motors and variable-speed drives, air compressors and related system components, commercial kitchen cooking equipment including exhaust hoods, ranges and ovens, material handling equipment (conveyor belt systems and screw-feed devices), infrared heaters and gas-fired ovens, process chillers.

The electric utility evaluates current energy consumption of the facility and makes recommendations for energy efficient equipment replacements. Once a determination is made as to what equipment is to be replaced, the utility estimates energy savings. Random follow-up inspections of projects take place to ensure installations were made according to specifications.

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Projects completed	153
2	Grants put into place between CT Office of Policy and Management and utility companies	3

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	47
Jobs Retained	0
Total Jobs	47

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Building Retrofits	
Buildings retrofitted, by sector	
Buildings retrofitted (COMMERCIAL)	100
Square footage retrofitted (COMMERCIAL)	8,450,000
Buildings retrofitted (INDUSTRIAL)	53
Square footage retrofitted (INDUSTRIAL)	4,785,000

10. User specified metrics (optional)*

DOE F 540.1
(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Energy Opportunities-Commercial and Industrial

METRICS	Planned
Financial Incentives for Energy Efficiency and Other Covered Investments	
Total value of investments incentivized, by incentive type and sector	
Total value of investments incentivized (INDUSTRIAL: REBATES)	1,375,000
Total value of investments incentivized (COMMERCIAL: REBATES)	2,000,000

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$3,375,000.00
Other	
Utility companies	\$165,000.00
Market Budget Total	\$3,540,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Fuel Cell Program

1. Market (choose one):

<input type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input checked="" type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input checked="" type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling.
<input type="checkbox"/> Bioenergy and biobased products	<input checked="" type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input checked="" type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input checked="" type="checkbox"/> Distributed energy generation	<input type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 169,232,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

This grant program would support the installation of fuel cells in Combined Heat and Power applications. The funding would extend the current On-Site Distributed Generation Program, under the same incentive structure. Projects are selected on a first-come, first-served basis, but do have to meet certain requirements in order to qualify for the incentive. The systems shall be sized so that the generating capacity of the unit is not greater than the baseload of the facility, and they shall be designed so that at least 50% of the heat generated from the fuel cell will be used by the facility.

- Any commercial industrial or institutional entity is eligible to apply for the incentive. Minimum requirements are:
 - as mentioned above, at least 50% of the waste heat must be utilized by the facility;
 - projects are expected to be installed and operating within 12 months of an executed agreement;
 - a facility must receive an energy audit to confirm a reasonable level of energy efficiency in the systems that constitute a electric load of the facility;
 - the fuel must be designed and sized so that generating capacity is not greater than base load demand at the facility;

All fuel cell projects are inspected by the Connecticut Clean Energy Fund Project Manager, the electric utility, and the local building inspector. All fuel cell installations greater than 20 kW must include monitoring equipment.

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Fuel Cell Program

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Completed Fuel Cell Projects	14
2	Projects approved for funding	14
3	Grant put into place between CT Office of Policy and Management and the CT Clean Energy Fund	1

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	112
Jobs Retained	0
Total Jobs	112

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Renewable Energy Market Development	
Renewable energy systems installed, by energy type	
Number of systems installed (OTHER RENEWABLE ENERGY)	14
Size of systems installed (OTHER RENEWABLE ENERGY)	8.350

10. User specified metrics (optional)*

METRICS	Planned
Financial Incentives for Energy Efficiency and Other Covered Investments	
Total value of investments incentivized, by incentive type and sector	
Total value of investments incentivized (INDUSTRIAL: OTHER)	4,000,000
Total value of investments incentivized (INSTITUTIONAL: OTHER)	4,000,000

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$8,000,000.00
Other	\$173,100.00
Utility companies	
Market Budget Total	\$8,173,100.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Geothermal Incentive Program

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input checked="" type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input checked="" type="checkbox"/> General energy efficiency for industry	<input checked="" type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input checked="" type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input checked="" type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 65,018,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

Ground-Source Heat Pump Program - This is a new program, which would offer a grant for new or retrofit systems. The grant would be a simple rebate based on SRCC ratings for system capacity. The type of systems installed will be closed-loop geothermal heat pump systems. Maximum size for residential systems will be six tons; maximum size for commercial systems is to be determined, but will be in the 50-100 ton range. Although the program will be open to all residential and non-residential entities, it is expected that the majority of the installations will be in homes, particularly in the first two years of the program, owing to the time required to properly plan, engineer and construct a commercial project. This is a new program and details have not yet been worked out, but the applicant must adhere to some general rules:

1. projects are expected to be installed and operating within 12 months of an executed agreement;
2. applicants must be owners and operators of the facility at the site
3. commercial installations over a certain size (TBD) will be required to have monitoring equipment installed;
4. owners of small installations (residential) are expected to report energy performance at least once a year over a period of two years.

All installations for each installer will be inspected by a CT Clean Energy Fund contractor until the installer has established a satisfactory track record. Subsequent installations will be inspected on a random basis. Installations will also be inspected by the local building inspector.

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Geothermal Incentive Program

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Installations completed	600
2	Grant put into place between CT Office of Policy and Management and the CT Clean Energy Fund	1

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	70
Jobs Retained	0
Total Jobs	70

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Renewable Energy Market Development	
Ground source geothermal systems installed	
Number of systems installed	600
Capacity of systems installed	2,984

10. User specified metrics (optional)*

METRICS	Planned
Financial Incentives for Energy Efficiency and Other Covered Investments	
Total value of investments incentivized, by incentive type and sector	
Total value of investments incentivized (COMMERCIAL; REBATES)	2,250,000
Total value of investments incentivized (RESIDENTIAL; REBATES)	2,250,000

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$5,000,000.00
Other	
Utility companies	
Market Budget Total	\$5,000,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Home Energy Solutions

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input checked="" type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input checked="" type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling -
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input checked="" type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input checked="" type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input checked="" type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input checked="" type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input checked="" type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 106,218,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

Residents can lower their energy bill with just one, in-home visit. A specialist will perform an energy assessment of the home, find and professionally seal critical leaks and drafts, replace incandescent bulbs with compact fluorescents lamps, provide and install water conservation devices and check insulation and appliances. Residents may also receive valuable rebate forms (including rebates for geothermal system performance and for the installation of high-efficiency central air conditioning and heat pump systems), and information on additional energy-saving measures. There is a low, \$75 charge for this program for customers who heat their homes with electricity or natural gas. Typically, Oil-heat customers can also participate for \$300 but with the addition of ARRA funds, oil heat customers will be able to participate for \$75.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	# households completed	8,100
2	Grants put into place between the CT Office of Policy and Management and the utility companies	3

8. Standard metrics (required)**

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Home Energy Solutions

JOB METRICS	Planned
Jobs Created	87
Jobs Retained	0
Total Jobs	87

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Building Energy Audits	
Building energy audits, by sector	
Audits performed (RESIDENTIAL)	8,100
Floor space audited (RESIDENTIAL)	16,800,000
Auditor's projection of energy savings (RESIDENTIAL)	4,316,000

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$6,250,000.00
Other	
Utility companies	\$330,000.00
Market Budget Total	\$6,580,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Small Business Energy Advantage

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input checked="" type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input checked="" type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling.
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input checked="" type="checkbox"/> General energy efficiency for industry	<input type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input checked="" type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input checked="" type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input checked="" type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input checked="" type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input checked="" type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input checked="" type="checkbox"/> Energy consumption and price statistics	<input checked="" type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input checked="" type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 119,176,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

Small Business Energy Advantage is a program that provides direct customer services which include no-obligation energy assessments, cash incentives and zero-percent financing for qualified customers to implement energy efficiency upgrades. This program is available on a first-come first-served basis to commercial, industrial, and municipal customers with an average 12-month peak demand between 10 kilowatts (kW) and up to 200 kW. A utility contractor will perform a no-cost energy assessment of the facility to determine energy conserving options. The utility then prepares a proposal to detail measures, costs, and energy savings. The utility provides incentives and offers zero-percent financing to cover the project costs. Technologies are not limited by the program, but typically include: high-performance lighting, occupancy sensors, and/or photocells; HVAC upgrades and programmable thermostats; energy efficient refrigeration, such as anti-condensation door heater controls, evaporator fan controls, night covers and electronically commutated motors; and such measures as air compressors, variable frequency drives, and premium-efficiency motors. The electric utility performs an energy assessment and determines potential savings from recommended measures. After the project is completed by a contractor, the measures are inspected and verified by the electric utility.

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Small Business Energy Advantage

7. Program Year Milestones* :

Milestone		Planned (Number)
1	# projects completed	417
2	Assessments ("audits") completed	417
3	Grants put into place between the CT Office of Policy and Management and the utility companies	2

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	40
Jobs Retained	0
Total Jobs	40

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Building Retrofits	
Buildings retrofitted, by sector	
Buildings retrofitted (COMMERCIAL)	417
Square footage retrofitted (COMMERCIAL)	3,336,000

10. User specified metrics (optional)*

METRICS	Planned
Financial Incentives for Energy Efficiency and Other Covered Investments	
Total value of investments incentivized, by incentive type and sector	
Total value of investments incentivized (COMMERCIAL: REBATES)	2,875,000

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$2,875,000.00
Other	
Utility companies	\$165,000.00
Market Budget Total	\$3,040,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Solar PV Program

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling.
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input checked="" type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input checked="" type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input checked="" type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input checked="" type="checkbox"/> Distributed energy generation	<input type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 16,530,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Solar PV Program

This grant program would be open to all Connecticut residential and commercial customers, and run under the same rules as the Solar Rebate Program for homeowners and the On-Site Renewable DG Program for commercial entities. 50% of the funds will go toward residential rebates, with a maximum size of 10 kW; 50% of the funding will go toward commercial systems, with a maximum size of 200 kW. A grant of up to \$2,000/kWPTC would be awarded, subject to performance adjustments. It is expected that most not-for-profit applications will be submitted to the existing OSDG Program, which offers substantially higher incentives to compensate for the inability to take advantage of federal tax credits.

General rules of the solar PV program are as follows:

1. projects are expected to be installed and operating within 12 months of an executed agreement;
 2. applicants must be owners and operators of the facility at the site;
 3. for commercial systems, the output shall not be greater than the facilities highest peak load in any one hour; for residential systems, the system shall be sized to produce no more energy than was consumed by the residence during the past 12 months;
 4. PV modules and inverters must be on the approved list for the California Solar Incentive Program;
 5. Incentives are \$3.75/Watt if <100kWPTC ; \$2.75/Watt if >100kW but <200kW; \$0.0/Watt if >200kW.
- All systems shall be approved by the local building/electrical inspector, the local electric distribution company to verify the interconnection design and operation of circuit protection devices, and a CT Clean Energy Fund contractor. Upon the establishment of a satisfactory track record, the Clean Energy Fund contractor will inspect subsequent installations on a random basis. All systems larger than 50 kW will be required to install metering equipment to track consumption. Smaller customers are required to report to CEF on the project performance at least once per year for a period of two years.

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Projects completed	300
2	Grant put into place between CT Office of Policy and Management and the CT Clean Energy Fund	1

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	42
Jobs Retained	0
Total Jobs	42

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Renewable Energy Market Development	
Renewable energy systems installed, by energy type	
Number of systems installed (SOLAR ENERGY)	300
Size of systems installed (SOLAR ENERGY)	1,500

10. User specified metrics (optional)*

METRICS	Planned
Financial Incentives for Energy Efficiency and Other Covered Investments	
Total value of investments incentivized, by incentive type and sector	
Total value of investments incentivized (RESIDENTIAL: REBATES)	3,000,000

11. Program Year Funds by Source*

DOE F 540.1
(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Solar PV Program

a. SEP Grant (all funds in the approved budget)	
DOE	\$3,000,000.00
Other	\$173,100.00
Utility companies	
Market Budget Total	\$3,173,100.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Solar Thermal

1. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling.
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input checked="" type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input checked="" type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input checked="" type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input checked="" type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 37,783,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

Solar Thermal Program - This is a new program, aimed at homeowners and business owners who wish to supplement their existing (or planned) domestic hot water (DHW) systems with solar collectors. A simple rebate program providing an incentive is expected to provide 1,000 new projects, primarily residential, over the first two years. The program would be open to all customers currently using gas, oil or electricity for DHW, and to builders planning to use these fuels for their planned DHW systems.

This is a new program and details have not yet been worked out, but the applicant must adhere to some general rules:

1. projects are expected to be installed and operating within 12 months of an executed agreement;
2. applicants must be owners and operators of the facility at the site
3. commercial installations over a certain size (TBD) will be required to have monitoring equipment installed;
4. owners of small installations (residential) are expected to report energy performance at least once a year over a period of two years

All installations for each installer will be inspected by a CT Clean Energy Fund contractor until the installer has established a satisfactory track record. Subsequent installations will be inspected on a random basis. Customers are required to report to CEF on the project performance at least once per year for a period of two years after installation.

DOE F 540.1
(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: Solar Thermal

7. Program Year Milestones* :

Milestone		Planned (Number)
1	# of projects	1,000
2	Grant put into place between CT Office of Policy and Management and the CT Clean Energy Fund	1

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	56
Jobs Retained	0
Total Jobs	56

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Renewable Energy Market Development	
Solar thermal systems installed	
Number of systems installed	1,000
Capacity of systems installed	70,000

10. User specified metrics (optional)*

METRICS	Planned
Financial Incentives for Energy Efficiency and Other Covered Investments	
Total value of investments incentivized, by incentive type and sector	
Total value of investments incentivized (RESIDENTIAL: REBATES)	3,600,000

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$4,000,000.00
Other	
Utility companies	
Market Budget Total	\$4,000,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: State Building Energy Improvements

I. Market (choose one):

<input checked="" type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: CT

3. Program Year: 2009

Date Start: 04/01/2009 Date End: 03/31/2012

4. Topics Involved in the Overall Program Market (choose all that apply):

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Federal Energy Management Program	<input type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Alternative Fuels	<input checked="" type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Public information
<input type="checkbox"/> Appliance efficiency and standards	<input type="checkbox"/> Financing energy programs	<input type="checkbox"/> Rating and labeling -
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> Rebuild America
<input type="checkbox"/> Biomass Power	<input type="checkbox"/> General energy efficiency for industry	<input type="checkbox"/> Residential buildings
<input type="checkbox"/> Building America	<input type="checkbox"/> Geothermal	<input type="checkbox"/> Right turn on red **
<input type="checkbox"/> Carpools, vanpools, and ride-sharing **	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Schools
<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Heavy vehicles and trucks	<input checked="" type="checkbox"/> Solar power
<input type="checkbox"/> Climate change planning	<input type="checkbox"/> Home energy ratings	<input type="checkbox"/> State energy strategic plans
<input type="checkbox"/> Combined heat and power	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Telecommuting
<input type="checkbox"/> Commercial buildings	<input type="checkbox"/> Hydropower	<input checked="" type="checkbox"/> Thermal **
<input type="checkbox"/> Curriculum development	<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Traffic signals
<input checked="" type="checkbox"/> Demand reduction	<input type="checkbox"/> Industries of the future	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Lighting **	<input type="checkbox"/> Transportation alternatives
<input type="checkbox"/> Energy and environment	<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Waste management and recycling
<input type="checkbox"/> Energy building codes	<input type="checkbox"/> Manufacturing	<input checked="" type="checkbox"/> Water systems
<input type="checkbox"/> Energy consumption and price statistics	<input checked="" type="checkbox"/> Motors and other industrial systems	<input type="checkbox"/> Wind energy
<input type="checkbox"/> Energy emergency planning	<input type="checkbox"/> Performance contracting	
<input type="checkbox"/> ENERGY STAR	<input type="checkbox"/> Policy and energy legislation	

5. Estimated Annual Energy Savings : 50,000,000.00 MBtus

6. Description (executive summary of goals and objectives)* :

The State of Connecticut will implement a variety of projects within state-owned buildings to reduce energy consumption and obtain efficiencies for energy that is consumed. The State Department of Public Works will be responsible for identification and implementation of specific projects. Under this program activity:

- Existing lighting systems will be replaced with more energy efficient systems and lighting controls will be installed.
- Lower power variable frequency drive motors will replace existing motors.
- Energy management systems (EMS) will be installed or upgraded.
- Through building energy audits and commissioning/re-commissioning, improvements to heating, ventilation, and air conditioning (HVAC) systems will be made, such as economizers, dampers, and EMS controls.
- Boiler and burner replacements and upgrades will be made.
- Other energy measures may be considered on a case-by-case basis.

DOE F 540.1
(08/05)

**U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET**

OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00372)

Market Title: State Building Energy Improvements

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Buildings selected for energy improvements	5
2	Completed State facilities energy improvements	5
3	Grant put into place between CT Office of Policy and Management and the Dept. of Public Works	1

8. Standard metrics (required)**

JOB METRICS	Planned
Jobs Created	70
Jobs Retained	0
Total Jobs	70

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Building Retrofits	
Buildings retrofitted, by sector	
Buildings retrofitted (PUBLIC)	5
Square footage retrofitted (PUBLIC)	1,250,000

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$5,000,000.00
Other	
Utility companies	
Market Budget Total	\$5,000,000.00
b. Leveraged funds anticipated (outside approved budget)	

*Please use additional pages if more space is needed.

**Mandatory requirement

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**SPECIAL TERMS AND CONDITIONS FOR USE IN MOST GRANTS AND
COOPERATIVE AGREEMENTS**

RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award must be referred to the DOE Award Administrator for guidance.

AWARD AGREEMENT TERMS AND CONDITIONS

This award/agreement consists of the Grant and Cooperative Agreement cover page, plus the following:

- a. Special terms and conditions.
- b. Attachments:

Attachment No.	Title
1	Intellectual Property Provisions
2	Federal Assistance Reporting Checklist
3	Budget Page(s)
4	SEP Narrative Information Worksheets

- c. Applicable program regulations (*specify*) _____ (*Date*) _____
- d. DOE Assistance Regulations, 10 CFR Part 600at <http://ecfr.gpoaccess.gov>
- e. Application/proposal as approved by DOE.
- f. National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at http://management.energy.gov/business_doe/1374.htm.

**PAYMENT PROCEDURES - ADVANCES THROUGH THE AUTOMATED
STANDARD APPLICATION FOR PAYMENTS (ASAP) SYSTEM**

- a. Method of Payment. Payment will be made by advances through the Department of Treasury's ASAP system.
- b. Requesting Advances. Requests for advances must be made through the ASAP system. You may submit requests as frequently as required to meet your needs to disburse funds for the Federal share of project costs. If feasible, you should time each request so that you receive payment on the same day that you disburse funds for direct project costs and the proportionate share of any allowable indirect costs. If same-day transfers are not feasible, advance payments must be as close as is administratively feasible to actual disbursements.
- c. Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.

d. Payments. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed with the U.S. Department of Treasury.

INCREMENTAL FUNDING AND MAXIMUM OBLIGATION - COEXTENSIVE BUDGET PERIOD AND PROJECT PERIOD

This award is funded on an incremental basis. The maximum obligation of the DOE is limited to the amount shown in Block 13 on the Agreement Face Page. You are not obligated to continue performance of the project beyond the total amount obligated and your pro rata share of the project costs, if cost sharing is required. Additional funding is contingent upon the availability of appropriated funds and substantial progress towards meeting the objectives of the award.

STAGED DISBURSEMENT – RECOVERY ACT FUNDS

Funding under this Recovery Act formula grant award will be obligated in accordance with the following disbursement schedule:

- 10% of the recipient's total allocation at time the initial grant is awarded.
- 40% of the recipient's total allocation upon DOE approval of the State Plan. This will be done through an amendment to the grant award.
- 10 - 20% of the recipient's total allocation amount when recipients demonstrate that they have obligated funds appropriately and jobs are being created, based on DOE review of the progress reports and monitoring.
- 30 - 40% of the recipient's total allocation amount when the recipient demonstrates continued progress based on DOE review of the progress reports and monitoring.

If Progress Reviews reveal deficiencies, such as funds not disbursed, jobs not created, insufficient technical monitoring, or failure to meet reporting requirements, DOE reserves the right to place a hold on current balances, and withhold further funding until deficiencies are corrected.

REBUDGETING AND RECOVERY OF INDIRECT COSTS - REIMBURSABLE INDIRECT COSTS AND FRINGE BENEFITS

a. If actual allowable indirect costs are less than those budgeted and funded under the award, you may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, you must refund the difference.

b. Recipients are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates. DOE recognizes that the inability to obtain full reimbursement for indirect costs means the

recipient must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

USE OF PROGRAM INCOME - ADDITION

If you earn program income during the project period as a result of this award, you may add the program income to the funds committed to the award and use it to further eligible project objectives.

STATEMENT OF FEDERAL STEWARDSHIP

DOE will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

SITE VISITS

DOE authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. You must provide, and must require your subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

REPORTING REQUIREMENTS

a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension, or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

b. Dissemination of scientific/technical reports. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge (www.osti.gov/bridge), unless the report contains patentable material, protected data, or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations).

c. Restrictions. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

PUBLICATIONS

a. You are encouraged to publish or otherwise make publicly available the results of the work conducted under the award.

b. An acknowledgment of Federal support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

Acknowledgment: "This material is based upon work supported by the Department of Energy under Award Number *DE-EE0000372*."

Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

You must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

a. The intellectual property provisions applicable to this award are provided as an attachment to this award. A list of all intellectual property provisions may be found at http://www.gc.doe.gov/financial_assistance_awards.htm.

b. Questions regarding intellectual property matters should be referred to the DOE Award Administrator and the Patent Counsel designated as the service provider for the DOE office that issued the award. The IP Service Providers List is found at [http://www.gc.doe.gov/documents/Intellectual_Property_\(IP\)_Service_Providers_for_Acquisition.pdf](http://www.gc.doe.gov/documents/Intellectual_Property_(IP)_Service_Providers_for_Acquisition.pdf).

LOBBYING RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

You are restricted from taking any action using federal funds for projects under this award that would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to DOE providing a final NEPA determination regarding these projects.

Prohibited project activities include:

1. Fuel Cell Program – activities associated with the installation of fuel cells in Combined Heat and Power applications with the exception of paper studies and modeling.
2. Geothermal Incentive Program – Commercial Systems
3. Solar PV Program – Commercial Applications
4. Solar Thermal – Commercial Applications
5. State Building Energy Improvements including:
Boiler and burner replacements and upgrades and
Energy measures being considered on a case by case basis.

The project activities listed above will require an individual NEPA review and determination. You must submit an environmental questionnaire to the DOE Project Officer for each project activity identified above to allow DOE to conduct an individual NEPA review and determination.

If you move forward with activities that are not authorized for federal funding by the DOE Contracting Officer in advance of the final NEPA determination, you are doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

If DOE determines that NEPA requires the preparation of an environmental assessment (EA) or environmental impact statement (EIS) for a project you propose, you will be responsible for paying the cost of preparing an EA or EIS. Preparation of these types of NEPA documents can require 6-24 months.

Accordingly you should carefully consider whether such projects are consistent with the objectives of the ARRA and will allow the expenditure of funds within the time periods allowed for by that statute.

This restriction does not preclude you from: *performing information gathering, analysis, documentation, dissemination and training and providing technical advice and planning assistance for the activities listed above.*

PRESERVATION OF OPEN COMPETITION AND GOVERNMENT NEUTRALITY TOWARDS CONTRACTORS' LABOR RELATIONS ON FEDERALLY FUNDED CONSTRUCTION PROJECTS

a. Unless in conflict with State or local laws, you must ensure that bid specifications, project agreement, or other controlling documents in construction contracts awarded pursuant to this agreement, or pursuant to a subaward to this agreement, do not:

1. Require or prohibit bidders, offerors, contractors, or subcontractors to enter into or adhere to agreements with one or more labor organizations, on the same or other related construction project(s); or

2. Otherwise discriminate against bidders, offerors, contractors, or subcontractors for becoming or refusing to become or remain signatories or otherwise to adhere to agreements with one or more labor organizations, on the same or other related construction project(s).

b. The term "construction contract" as used in this provision means any contract for the construction, rehabilitation, alteration, conversion, extension, or repair of buildings, highways, or other improvements to real property.

c. Nothing in this provision prohibits bidders, offerors, contractors, or subcontractors from voluntarily entering into agreements with labor organizations.

DECONTAMINATION AND/OR DECOMMISSIONING (D & D) COSTS

Notwithstanding any other provisions of this Agreement, the Government shall not be responsible for or have any obligation to the recipient for (i) Decontamination and/or Decommissioning (D&D) of any of the recipient's facilities, or (ii) any costs which may be incurred by the recipient in connection with the D&D of any of its facilities due to the performance of the work under this Agreement, whether said work was performed prior to or subsequent to the effective date of this Agreement.

SPECIAL PROVISIONS RELATING TO WORK FUNDED UNDER AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

Preamble

The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act)

was enacted to preserve and create jobs and promote economic recovery, assist those most impacted by the recession, provide investments needed to increase economic efficiency by spurring technological advances in science and health, invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits, stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. Recipients shall use grant funds in a manner that maximizes job creation and economic benefit.

The Recipient shall comply with all terms and conditions in the Recovery Act relating generally to governance, accountability, transparency, data collection and resources as specified in Act itself and as discussed below.

Recipients should begin planning activities for their first tier subrecipients, including obtaining a DUNS number (or updating the existing DUNS record), and registering with the Central Contractor Registration (CCR).

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 guidance. For projects funded by sources other than the Recovery Act, Contractors must keep separate records for Recovery Act funds and to ensure those records comply with the requirements of the Act.

The Government has not fully developed the implementing instructions of the Recovery Act, particularly concerning specific procedural requirements for the new reporting requirements. The Recipient will be provided these details as they become available. The Recipient must comply with all requirements of the Act. If the recipient believes there is any inconsistency between ARRA requirements and current award terms and conditions, the issues will be referred to the Contracting Officer for reconciliation.

Definitions

For purposes of this clause, Covered Funds means funds expended or obligated from appropriations under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5. Covered Funds will have special accounting codes and will be identified as Recovery Act funds in the grant, cooperative agreement or TIA and/or modification using Recovery Act funds. Covered Funds must be reimbursed by September 30, 2015.

Non-Federal employer means any employer with respect to covered funds – the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor, subcontractor, grantee, or recipient is an employer; and any professional membership organization, certification of other professional body, any agent or licensee of the Federal government, or any person acting directly or indirectly in the interest of an employer receiving covered funds; or with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor receiving the funds and any contractor or subcontractor of the State or local

government; and does not mean any department, agency, or other entity of the federal government.

Recipient means any entity that receives Recovery Act funds directly from the Federal government (including Recovery Act funds received through grant, loan, or contract) other than an individual and includes a State that receives Recovery Act Funds.

Special Provisions

A. Flow Down Requirement

Recipients must include these special terms and conditions in any subaward.

B. Segregation of Costs

Recipients must segregate the obligations and expenditures related to funding under the Recovery Act. Financial and accounting systems should be revised as necessary to segregate, track and maintain these funds apart and separate from other revenue streams. No part of the funds from the Recovery Act shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for Recovery Act projects.

C. Prohibition on Use of Funds

None of the funds provided under this agreement derived from the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

D. Access to Records

With respect to each financial assistance agreement awarded utilizing at least some of the funds appropriated or otherwise made available by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App.) or of the Comptroller General is authorized –

- (1) to examine any records of the contractor or grantee, any of its subcontractors or subgrantees, or any State or local agency administering such contract that pertain to, and involve transactions relation to, the subcontract, subcontract, grant, or subgrant; and
- (2) to interview any officer or employee of the contractor, grantee, subgrantee, or agency regarding such transactions.

E. Publication

An application may contain technical data and other data, including trade secrets and/or privileged or confidential information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than the application. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

Notice of Restriction on Disclosure and Use of Data

The data contained in pages ---- of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data here to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant.

Information about this agreement will be published on the Internet and linked to the website www.recovery.gov, maintained by the Accountability and Transparency Board. The Board may exclude posting contractual or other information on the website on a case-by-case basis when necessary to protect national security or to protect information that is not subject to disclosure under sections 552 and 552a of title 5, United States Code.

F. Protecting State and Local Government and Contractor Whistleblowers.

The requirements of Section 1553 of the Act are summarized below. They include, but are not limited to:

Prohibition on Reprisals: An employee of any non-Federal employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Accountability and Transparency Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or other person working for the employer who has the authority to investigate, discover or terminate misconduct, a court or grant jury, the head of a Federal agency, or their representatives information that the employee believes is evidence of:

- gross management of an agency contract or grant relating to covered funds;
- a gross waste of covered funds
- a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- an abuse of authority related to the implementation or use of covered funds; or

- as violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

Agency Action: Not later than 30 days after receiving an inspector general report of an alleged reprisal, the head of the agency shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the employee to a prohibited reprisal. The agency shall either issue an order denying relief in whole or in part or shall take one or more of the following actions:

- Order the employer to take affirmative action to abate the reprisal.
- Order the employer to reinstate the person to the position that the person held before the reprisal, together with compensation including back pay, compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.
- Order the employer to pay the employee an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the employee for or in connection with, bringing the complaint regarding the reprisal, as determined by the head of a court of competent jurisdiction.

Nonenforceability of Certain Provisions Waiving Rights and Remedies or Requiring Arbitration: Except as provided in a collective bargaining agreement, the rights and remedies provided to aggrieved employees by this section may not be waived by any agreement, policy, form, or condition of employment, including any predispute arbitration agreement. No predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising out of this section.

Requirement to Post Notice of Rights and Remedies: Any employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, shall post notice of the rights and remedies as required therein. (Refer to section 1553 of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, www.Recovery.gov, for specific requirements of this section and prescribed language for the notices.)

G. Request for Reimbursement

RESERVED

H. False Claims Act

Recipient and sub-recipients shall promptly refer to the DOE or other appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, sub-grantee, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict or interest, bribery, gratuity or similar misconduct involving those funds.

I. Information in supporting of Recovery Act Reporting

Recipient may be required to submit backup documentation for expenditures of funds under the Recovery Act including such items as timecards and invoices. Recipient shall provide copies of backup documentation at the request of the Contracting Officer or designee.

J. Availability of Funds

Funds appropriated under the Recovery Act and obligated to this award are available for reimbursement of costs until September 30, 2015.

K. Additional Funding Distribution and Assurance of Appropriate Use of Funds

Certification by Governor -- Not later than April 3, 2009, for funds provided to any State or agency thereof by the American Reinvestment and Recovery Act of 2009, Pub. L. 111-5, the Governor of the State shall certify that: 1) the state will request and use funds provided by the Act; and 2) the funds will be used to create jobs and promote economic growth.

Acceptance by State Legislature -- If funds provided to any State in any division of the Act are not accepted for use by the Governor, then acceptance by the State legislature, by means of the adoption of a concurrent resolution, shall be sufficient to provide funding to such State.

Distribution -- After adoption of a State legislature's concurrent resolution, funding to the State will be for distribution to local governments, councils of government, public entities, and public-private entities within the State either by formula or at the State's discretion.

L. Certifications

With respect to funds made available to State or local governments for infrastructure investments under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, the Governor, mayor, or other chief executive, as appropriate, certified by acceptance of this award that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Recipient shall provide an additional certification that includes a description of the investment, the estimated total cost, and the amount of covered funds to be used for posting on the Internet. A State or local agency may not receive infrastructure investment funding from funds made available by the Act unless this certification is made and posted.

REPORTING AND REGISTRATION REQUIREMENTS UNDER SECTION 1512 OF THE RECOVERY

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 (Recovery Act) and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) 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.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (<http://www.ccr.gov>) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (<http://www.dnb.com>) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in section 1512(c) of the Recovery Act using the reporting instructions and data elements that will be provided online at <http://www.FederalReporting.gov> and ensure that any information that is pre-filled is corrected or updated as needed.

REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS)—SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) *Definitions.* As used in this award term and condition—

Designated country —(1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom;

(2) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); or

(3) A United States-European Communities Exchange of Letters (May 15, 1995) country: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom.

Designated country iron, steel, and/or manufactured goods —(1) Is wholly the growth, product, or manufacture of a designated country; or

(2) In the case of a manufactured good that consist in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different manufactured good distinct from the materials from which it was transformed.

Domestic iron, steel, and/or manufactured good —(1) Is wholly the growth, product, or manufacture of the United States; or

(2) In the case of a manufactured good that consists in whole or in part of materials from another country, has been substantially transformed in the United States into a new and different manufactured good distinct from the materials from which it was transformed. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

Foreign iron, steel, and/or manufactured good means iron, steel and/or manufactured good that is not domestic or designated country iron, steel, and/or manufactured good.

Manufactured good means a good brought to the construction site for incorporation into the building or work that has been—

(1) Processed into a specific form and shape; or

(2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

Public building and public work means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

Steel means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Iron, steel, and manufactured goods.* (1) The award term and condition described in this section implements—

(i) Section 1605(a) of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States; and

(ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the Recovery Act do not apply to designated country iron, steel, and/or manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services. This obligation shall only apply to projects with an estimated value of \$7,443,000 or more.

(2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this section.

(3) The requirement in paragraph (b)(2) of this section does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows: None

(4) The award official may add other iron, steel, and manufactured goods to the list in paragraph (b)(3) of this section if the Federal Government determines that—

(i) The cost of domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of section 1605 of the Recovery Act or the Buy American Act.* (1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(4) of this section shall include adequate information for Federal Government evaluation of the request, including—

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this section.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this section.

(iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal Government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other appropriate actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.

(d) *Data*. To permit evaluation of requests under paragraph (b) of this section based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Items Cost Comparison

Description	Unit of measure	Quantity	Cost (dollars)*
<i>Item 1:</i>			
Foreign steel, iron, or manufactured good			
Domestic steel, iron, or manufactured good			
<i>Item 2:</i>			
Foreign steel, iron, or manufactured good			
Domestic steel, iron, or manufactured good			

WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE RECOVERY ACT

(a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

RECOVERY ACT TRANSACTIONS LISTED IN SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS AND RECIPIENT RESPONSIBILITIES FOR INFORMING SUBRECIPIENTS

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215.21 "Uniform Administrative

Requirements for Grants and Agreements” and OMB Circular A–102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds. OMB Circular A–102 is available at <http://www.whitehouse.gov/omb/circulars/a102/a102.html>.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations,” recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF–SAC) required by OMB Circular A–133. OMB Circular A–133 is available at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. This shall be accomplished by identifying expenditures for Federal awards made under the Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF–SAC by CFDA number, and inclusion of the prefix “ARRA-” in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF–SAC.

(c) Recipients agree to separately identify to each subrecipient, and document at the time of subaward and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to subrecipients shall distinguish the subawards of incremental Recovery Act funds from regular subawards under the existing program.

(d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.