

ASSISTANCE AGREEMENT

1. Award No. DE-EE0000372		2. Modification No. 002	3. Effective Date 09/21/2009	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 Attn: Raelynn Noga 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 See Page 2		10. Purchase Request or Funding Document No. 09EE004384	
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: \$19,271,000.00 Total : \$38,542,000.00
14. Principal Investigator John 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 <i>Martin J. Byrnes</i>		
23. Name and Title		24. Date Signed	26. Name of Officer MARTIN J. BYRNES	27. Date Signed 09/21/2009

CONTINUATION SHEET	REFERENCE NO. OF DOCUMENT BEING CONTINUED	PAGE	OF
	DE-EE0000372/002	2	4

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 Contract Specialist: Raelynn Noga 626 Cochrans Mill Road Pittsburgh, PA 15236 Phone: 412386-4992 Raelynn.Noga@netl.doe.gov Project Officer: Teresa Jones 3610 Collins Ferry Road Morgantown, WV 26507 Phone: 304-285-4057 Teresa.Jones@netl.doe.gov Business Officer: John Ruckes 450 Capitol Ave MS 52 ENR Hartford, CT 06106 Phone: 860-418-63843 John.Ruckes@ct.gov 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 amendment is to (1) fully fund the award, (2) revise the Special Terms and Conditions, (3) change the DOE Award Administrator, and (4) incorporate the revised Narrative Information Worksheet. Accordingly, the grant is amended as follows:

1. As reflected in Block 13 of the Award Cover Page, funds in the amount of 19,271,000 are hereby obligated increasing the total DOE obligations from \$19,271,000 by \$19,271,000 to \$38,542,000. This obligation fully funds the subject award.
2. The “Special Terms and Conditions” are revised as follows:
 - “Incremental Funding and Maximum Obligation – Coextensive Budget Period and Project Period” provision is hereby deleted in its entirety;
 - “Staged Disbursement” provision is hereby deleted in its entirety; and
 - The following provisions are hereby incorporated into the grant award:

“HISTORIC PRESERVATION

Prior to the expenditure of Federal funds to alter any structure or site, the Recipient is required to comply with the requirements of Section 106 of the National Historic Preservation Act (NHPA), consistent with DOE’s 2009 letter of delegation of authority regarding the NHPA. Section 106 applies to historic properties that are listed in or eligible for listing in the National Register of Historic Places. In order to fulfill the requirements of Section 106, the recipient must contact the State Historic Preservation Officer (SHPO), and, if applicable, the Tribal Historic Preservation Officer (THPO), to coordinate the Section 106 review outlined in 36 CFR Part 800. SHPO contact information is available at the following link: <http://www.ncshpo.org/find/index.htm>. THPO contact information is available at the following link: <http://www.nathpo.org/map.html> .

Section 110(k) of the NHPA applies to DOE funded activities. Recipients shall avoid taking any action that results in an adverse effect to historic properties pending compliance with Section 106.

Recipients should be aware that the DOE Contracting Officer will consider the recipient in compliance with Section 106 of the NHPA only after the Recipient has submitted adequate background documentation to the SHPO/THPO for its review, and the SHPO/THPO has provided written concurrence to the Recipient that it does not object to its Section 106 finding or determination. Recipient shall provide a copy of this concurrence to the Contracting Officer.

**ADVANCED UNDERSTANDING CONCERNING PUBLICLY FINANCED
ENERGY IMPROVEMENT PROGRAMS**

The parties recognize that the Recipient may use funds under this award for Property-Assessed Clean Energy (PACE) loans, Sustainable Energy Municipal Financing, Clean Energy Assessment Districts, Energy Loan Tax Assessment Programs (ELTAPS), or any other form or derivation of Special Taxing District whereby taxing entities collect payments through increased tax assessments for energy efficiency and renewable energy building improvements made by their constituents. The Department of Energy intends to publish "Best Practices" or other guidelines pertaining to the use of funds made available to the recipient under this award pertaining to the programs identified herein. By accepting this award, the recipient agrees to incorporate, to the maximum extent practicable, those Best Practices and other guidelines into any such program(s) within a reasonable time after notification by DOE that the Best Practices or guidelines have been made available. The recipient also agrees, by its acceptance of this award, to require its sub-recipients to incorporate to the maximum extent practicable the best practices and other guideline into any such program used by the sub-recipient."

3. The DOE Award Administrator is hereby changed from Janet Laukaitis to Raelynn Noga as reflected on page 2 of the Award Cover Page.
4. The revised Narrative Information Worksheet is incorporated into the award for the Market Title, "Small Business Program." The revised worksheet replaces the previous "Small Business Energy Advantage" worksheet.

Except as provided herein, all other terms and conditions remain the same and in full force and effect.

End of Modification 002

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 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 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)* :

The Small Business Program provides no-obligation energy assessments and cash incentives 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. The utility will perform a no-cost energy assessment of the facility to determine potential energy savings conserving options. The utility then prepares a proposal to detail measure costs and energy savings. The business determines what measures are implemented and the utility provides incentives for many of the measures- incentives that ordinarily are only available to larger commercial customers. 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.

After the project is completed, the measures are inspected and verified by the electric utility. The program is similar to the Energy Opportunities (which targets larger commercial and industrial customers) but it is focused on smaller energy users.

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 Program

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
	Number of jobs created	40
	Number of 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)		

*Please use additional pages if more space is needed.

**Mandatory requirement