

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U. S. Department of Energy**

**National Energy Technology Laboratory**

**Recovery Act**

**Local Energy Assurance Planning (LEAP) Initiative**

**Funding Opportunity Number: DE-FOA-0000098**

**Announcement Type: Initial**

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<b>Application Due Date:</b>	<b>10/08/2009 at 3:00:00 PM Eastern Time</b>

## NOTE: REGISTRATION/SUBMISSION REQUIREMENTS

### **Registration Requirements**

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

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

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

**Applicants must register with FedConnect to submit their application. FedConnect website:** [www.fedconnect.net](http://www.fedconnect.net)

### **Questions**

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

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

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

### **Application Preparation and Submission**

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

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

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## PART I – FUNDING OPPORTUNITY DESCRIPTION

### A. INTRODUCTION

American Recovery and Reinvestment Act of 2009 (ARRA 2009)

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

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

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

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

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

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

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

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

## **B. DESCRIPTION OF FUNDING OPPORTUNITY**

### **1. Background:**

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

This initiative, (restricted to U.S. cities) called “Local Energy Assurance Planning” (hereinafter called the LEAP Initiative) focuses on developing new, or refining existing, plans to integrate new energy portfolios (renewables, biofuels, etc) and new applications, such as Smart Grid technology (<http://www.oe.energy.gov/smartgrid.htm>), into energy assurance and emergency preparedness plans. Better planning efforts will help contribute to the resiliency of the energy sector, including the electricity grid, by focusing on the entire energy supply system, which includes refining, storage, and distribution of fossil and renewable fuels.

### **2. Statutory Authority:**

American Recovery and Reinvestment Act of 2009 (ARRA).

### **3. Purpose/Objectives:**

The objectives of this initiative are to:

1. Strengthen and expand local government energy assurance planning and resiliency;
2. Reduce the impacts from energy supply disruptions, and
3. Create jobs.

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

To achieve the goals on this initiative, applicants will be encouraged to consider the following activities when proposing projects under the FOA:

- Creating in-house expertise at the local level on energy assurance planning and resiliency, focusing on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications;
- Developing new, or refining existing, Energy Assurance Plans to incorporate response actions to new energy portfolios, including Smart Grid technologies;
- Developing new, or modifying existing energy assurance plan modeled after the Public Technology Institute Local Energy Assurance Guidelines (<http://www.pti.org/docs-sust/LocalGovernmentEnergyAssuranceGuidelines.pdf>);

- Revising appropriate City policies, procedures and practices to reflect the Energy Assurance Plans;
- Training appropriate personnel on energy infrastructure and supply systems and the content and execution of energy assurance plans;
- Conducting energy emergency exercises to evaluate the effectiveness of the energy assurance plans;
- Assessing the readiness of a local jurisdiction to an energy emergency;
- Building organization relationships and identifying responsibilities within local and state government, the private sector and the region;
- Identifying actions that can ease the impacts of short-term energy disruptions;
- Defining long-term strategies and options for dealing with sustained disruptions or outages;
- Elevating the awareness of energy security and energy assurance issues;
- Identifying steps to work with industry minimize and resolve the impact of energy supply disruptions;
- Introducing new, valuable energy assurance resources;
- Defining strategies for implementing new technologies and innovative renewable energy resources, including Smart Grid technologies;
- Evaluating financing options to meet energy assurance needs; and
- Sharing lesson-learned and best practices among other local governments across the country.

Although the DOE encourages cities to assure coordination between DOE-funded and any other energy programs, funds received under this announcement cannot be used to supplant funds under the Energy Efficiency and Conservation Block Grant Program, the Annual State Energy Program (SEP) or the Recovery Act SEP Program nor can the funds under those programs be used for activities under this FOA.

## **1. Benefits**

The DOE expects that the LEAP Initiative will produce measurable programmatic outputs in support of the stated ARRA goals to facilitate recovery from disruptions to the energy supply and enhance reliability and quicker repair of outages. The measurable programmatic outputs are:

1. Number of energy assurance plans created or substantially revised;
2. Number of jobs created within city governments for energy assurance planning and response capabilities;
3. Number of energy assurance implementation activities completed (e.g., training sessions, workshops and/or exercises conducted, etc.); and
4. Number of people trained in energy assurance.

The DOE expects the following public benefits to result from the LEAP Initiative.

1. Creating more current or up-to-date energy assurance plans that will incorporate new energy portfolios such as renewables, biofuels, and Smart Grid technologies, etc. Updating energy assurance plans to reflect these portfolios will allow Cities to be more informed and better prepared when responding to energy emergencies.
2. Creating in-house energy assurance planning expertise at the local level will allow cities to better identify energy events, more rapidly assess supply disruptions, be more aware of how energy systems work, and better understand energy interdependencies with other sectors. Ultimately, enhancing local energy assurance capabilities will reduce the response, restoration and recovery time from energy supply disruption events.
3. Better coordination across jurisdictions and with industry creates more efficient preparedness and response actions, reduces duplication, and decreases the time required to recover and restore the energy infrastructure.
4. Creating and saving jobs in energy assurance planning at the city level.

## SECTION II - AWARD INFORMATION

### A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding grants under this program announcement.

### B. ESTIMATED FUNDING

A total of \$10,500,000 in ARRA funding is available through the FOA and will be awarded on a competitive basis.

### C. MAXIMUM AND MINIMUM AWARD SIZE

**Ceiling** (i.e., the maximum amount for an individual award made under this announcement): \$300,000.

**Floor** (i.e., the minimum amount for an individual award made under this announcement): \$60,000.

### D. EXPECTED NUMBER OF AWARDS

DOE anticipates making approximately 50 awards under this funding opportunity announcement.

### E. ANTICIPATED AWARD SIZE

DOE anticipates that awards will be in the \$60,000 to \$300,000 range for the total project period.

Population-based funding guidelines are provided in the following table for applicants to use as a general guide in scoping proposed projects. The funding guidelines are based on the estimated cost to 1) create and implement an Energy Assurance Plan commensurate with the size/population of the City, 2) hire and train staff or hire contractors to assist with energy assurance planning, and 3) exercise and/or implement the Energy Assurance Plan. The individual amounts will be based on the proposed cost to perform the activities submitted in the application.

<b>Population Category</b>	<b>Total Award</b>
> 500,000	\$300,000
100,000-500,000	\$200,000
25,000-99,999	\$130,000
< 25,000	\$60,000

### F. PERIOD OF PERFORMANCE

DOE anticipates making awards with a single project period not to exceed twenty four (24) months.

**G. TYPE OF APPLICATION**

DOE will accept only new applications under this announcement.

## **SECTION III - ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS**

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to U.S. Cities. For the purpose of this FOA, a "city" is defined as a city-equivalent unit of local government, such as a town, village or other municipality. Consolidated city-county governments will be considered as cities and will be eligible.

A city is eligible for funds under this FOA if all of the following conditions are met:

1. The city government is included in the latest available U.S. Census of Governments as a currently incorporated government;
2. The city government has a governance structure with an elected official and governing body; and
3. The city government has the authority to implement the eligible activities under this FOA.

### **B. COST SHARING**

Cost sharing is not required.

### **C. OTHER ELIGIBILITY REQUIREMENTS**

Federally Funded Research and Development Center (FFRDC) Contractors **are not eligible** for an award under this announcement, either as a prime recipient or as a team member.

## **SECTION IV - APPLICATION AND SUBMISSION INFORMATION**

### **A. ADDRESS TO REQUEST APPLICATION PACKAGE**

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

### **B. LETTER OF INTENT AND PRE-APPLICATION**

#### **1. Letter of Intent.**

Letters of Intent are not required.

#### **2. Pre-application**

Pre-applications are not required.

### **C. CONTENT AND FORM OF APPLICATION – SF 424**

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

#### **1. SF 424 - Application for Federal Assistance**

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm) under Certifications and Assurances. Save the file name in the following format: LEAP-[State abbreviation]-[City Name]-SF424.pdf. For example, "LEAP-WV-Morgantown-SF424.pdf" or "LEAP-PA-Pittsburgh-SF424.pdf".

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

#### **2. Project/Performance Site Location(s)**

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

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

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

### 3. Other Attachments Form

Submit the following files with your application and attach them to the Other Attachments Form. Click on “Add Mandatory Other Attachment” to attach the Project Narrative. Click on “Add Optional Other Attachment,” to attach the other files.

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

The project narrative must not exceed 15 pages including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right).

EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point, and the lines must be single spaced. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Part VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

- **Project Objectives**

The project narrative must include Project Objectives. In addition to the project objectives stated in Section A of the Statement of Project Objectives (SOPO), the applicant shall identify additional objectives specifically related to the proposed project. If selected for award, the objectives addressed in this section will be incorporated into the Statement of Project Objectives (SOPO).

- **Statement of Need**

The project narrative must include a Statement of Need. The Statement of Need shall explain the need for funding for activities eligible under this Funding Opportunity Announcement. The Applicant shall address specific gaps in the City’s energy assurance plan and/or emergency response plan (e.g., lack of integration into state energy assurance plan, lack of interagency coordination, lack of integration of new energy technologies, etc.) that this project will address. Additionally, the Applicant shall also describe any unmet needs (e.g. complete lack of an energy assurance plan, lack of appropriate expertise, need to implement specific energy assurance activities, etc.), which this project can address. The Applicant shall also identify the predominant energy sources/issues (e.g., renewable energies, natural gas, home heating oil, etc.) for its jurisdiction.

- **Technical Discussion**

The project narrative must include a technical discussion. The technical discussion shall address the following:

1. Proposed technical approach/strategy for:
  - a. Managing the project and providing necessary oversight to assure the successful completion of the project.
  - b. Developing a new or revising an existing Energy Assurance Plan in accordance with the Public Technology Institute (PTI)

Local Energy Assurance Guidelines (refer to the Statement of Project Objectives below).

c. Implementing the Energy Assurance Plan.

2. Workforce Development Plan - The Workforce Development Plan should describe the plan for development of expertise on energy assurance planning, including hiring, retaining, and training personnel for energy assurance activities.
3. Energy Assurance Plan Implementation Activities - The applicant should identify and discuss specific activities to be performed to implement the Energy Assurance Plan. These activities should, at a minimum, consider the examples provided in Part I, Funding Opportunity Description, Section B, Item 3, Purpose/Objectives (pages 5-6). This discussion should also address how energy assurance planning will be coordinated with appropriate entities, such as the emergency management office, homeland security office, fire departments, public utility commissions, state energy office, private sector utilities, etc. The applicant should also identify any additional deliverable(s) being proposed (e.g., report, resolution for plan implementation, table-top exercise plan/summary, training plan, interagency agreement, etc.). If selected for award, the activities and deliverables addressed in this section of the technical discussion will be incorporated into the Statement of Project Objectives (SOPO).

- **Project Summary/Abstract File**

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

- **SF 424 A Excel, Budget Information – Non-Construction Programs File**

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, "Budget Information – Non Construction Programs" form on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

- **Budget Justification File**

You must justify the costs proposed in each Object Class Category/Cost Classification

category (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers, and number of travel days; list general categories of supplies and amount for each category; and provide any other information you wish to support your budget). Provide the name of your cognizant/oversight agency, if you have one, and the name and phone number of the individual responsible for negotiating your indirect rates. If cost sharing is required, you must have a letter from each third party contributing cost sharing (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost sharing. In the budget justification, identify the following information for each third party contributing cost sharing: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed cost sharing – cash, services, or property. By submitting your application, you are providing assurance that you have signed letters of commitment. Successful applicants will be required to submit these signed letters of commitments. Save the budget justification information in a single file named "Budget.pdf," and click on "Add Optional Other Attachment" to attach.

- **ARRA 2009 Additional Budget Justification Information**

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

- **Subaward Budget File(s)**

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee's name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on "Add Optional Other Attachment" to attach.

- **NEPA**

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

- **SF-LLL Disclosure of Lobbying Activities**

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

#### **D. STATEMENT OF PROJECT OBJECTIVES**

The Department of Energy's, National Energy Technology Laboratory intends on utilizing the following Statement of Project Objectives (SOPO) template for this award. If selected for award, finalization of the SOPO will be based on the submitted application.

The SOPO may be released to the public by DOE in whole or in part at any time. It is therefore required that it shall not contain proprietary or confidential business information.

#### **STATEMENT OF PROJECT OBJECTIVES (SOPO)**

##### **A. OBJECTIVES**

The initiative will focus on building regional energy assurance capability to allow Cities to better coordinate and communicate state-wide and with one another, on energy security, reliability, and emergency response issues. The objectives of this initiative are to: 1) strengthen and expand local government energy assurance planning and resiliency, (2) reduce the impacts from energy supply disruptions, and (3) create jobs and save jobs in energy assurance planning at the city level.

##### **B. TASKS TO BE PERFORMED**

###### **Task 1.0 - Project Management Plan**

The Project Management Plan details the work elements required to manage and report on activities in accordance with the ARRA and grant requirements. This Plan also documents the 2-year plan and project budget for carrying out all Tasks and completing all Deliverables under this Grant. It is anticipated that this document will be periodically revised during the performance period, but should at all times provide sufficient detail to plan, carry out and monitor all project activities.

###### **Task 2.0 – Workforce Development Plan**

The Workforce Development Plan shall be revised as necessary to provide the status of its implementation and any changes to the plan during the course of the project.

###### **Task 3.0 – Energy Assurance Planning**

The Energy Assurance Plan (new or revised) shall be modeled after the Local Energy Assurance Guidelines (<http://www.pti.org/docs-sust/LocalGovernmentEnergyAssuranceGuidelines.pdf>) developed by Public Technology Institute (PTI) and DOE Office of Electricity Delivery and Energy Reliability (OE). The Energy Assurance Plan should incorporate response actions for new energy portfolios, including Smart Grid technologies, and be integrated with the respective State Energy Assurance Plan. Energy assurance planning will be coordinated with appropriate entities, such as the emergency management office, homeland security office, fire departments, public utility commissions, state energy office, private sector utilities, etc.

#### Task 4.0 - Energy Assurance Plan Implementation Activities

Subtask 4.1 (subtask to be determined by the activities submitted by the applicant)

Subtask 4.2 (subtask to be determined by the activities submitted by the applicant)

Subtask 4.3 (subtask to be determined by the activities submitted by the applicant)

#### B. DELIVERABLES

Reports shall be submitted in accordance with the "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist included as Attachment A to this FOA. In addition, the following deliverables are required.

Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of Project Management Plan.

Deliverable 1.0 – Project Management Plan (PMP) (PMP due 45 days following award and subsequent revisions, due quarterly throughout the performance period.) Reference Attachment B for the Project Management Plan template.

Deliverable 2.0 – Workforce Development Plan (WDP) (WDP required with application and subsequent revisions due quarterly throughout the performance period.)

Deliverable 3.0 – Energy Assurance Plan (due at end of project period)

Deliverable 4.0 – Energy Assurance Plan Implementation Documentation (To be proposed by the Applicant and described in the application. Due at end of project period.)

Deliverable 5.0 – (deliverable to be determined in the application)

Deliverable 6.0 – (deliverable to be determined in the application)

Deliverable 7.0 – (deliverable to be determined in the application)

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## Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
Application for Federal Assistance – SF424	Form	LEAP-[State abbreviation]-[City Name]-SF424.pdf.
Project/Performance Site Location(s)	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Project Narrative File	PDF	Project.pdf
Project Summary/Abstract File	PDF	Summary.pdf
SF 424A File - Budget Information for Non-Construction Programs	Excel	SF424A.xls
Budget Justification File	PDF	Budget.pdf
Subaward Budget File(s)	Excel	(subawardee name).xls
ARRA 2009 Additional Budget Justification Information	PDF	ARRAWage.pdf
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A

### E. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable
- Commitment Letter from Third Parties Contributing to Cost Sharing, if applicable

### F. SUBMISSION DATES AND TIMES

Applications should be received by October 8, 2009, not later than 3:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

### G. INTERGOVERNMENTAL REVIEW

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

## H. FUNDING RESTRICTIONS

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

## I. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

### 1. Where to Submit

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

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

### 2. Registration Process

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

## **Part V - APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

#### **1. Initial Review Criteria**

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement.

#### **2. Merit Review Criteria**

Applications will be reviewed based on the following five criteria (weighted as identified below)::

Criterion 1: (25 percent weight): Degree to which the technical approach for creating or revising an Energy Assurance (EA) Plan addresses integration of the following:

- Public Technology Institute's (PTI) Local Government Energy EA Guidelines.
- State Energy Assurance Plans.

Criterion 2: (25 percent weight): Degree to which the Applicant will coordinate and collaborate with:

- Emergency Management Office(s).
- Private sector industry.
- Homeland Security Office(s).
- State Public Utility Commission(s).
- State Energy Office, and
- Other agencies as appropriate.

Criterion 3: (20 percent weight): Effectiveness of the proposed strategy for implementing, exercising and maintaining the Energy Assurance Plan.

Criterion 4: (10 percent weight): Adequacy of the strategy for project management and accompanying oversight.

Criterion 5: (10 percent weight): Adequacy of the strategy for local job creation and workforce development as described/proposed in the Workforce Development Plan.

Criterion 6: (10 percent weight): Degree to which the Applicant demonstrates the need for an Energy Assurance Plan.

#### **3. Other Selection Factors**

The Selection Official may consider the following program policy factors in the selection process:

1. It may be desirable to select projects from a diversity of geographical areas across the United States.
2. It may be desirable to select projects representing a range of populations.
3. It may be desirable to select projects representing a diversity of predominant energy

sources/issues (e.g. natural gas, renewable energies, coal, petroleum, home heating oil, etc),

4. It may be desirable to select projects representing a diversity of predominant disaster threats (e.g., hurricanes, earthquakes, flooding, tornados, etc.).
5. It may be desirable to select projects representing different stages of current plan status, i.e., new plan versus update to an existing plan.
6. (ARRA 2009 Application Review Information Criteria) Selection of applications which promote and enhance the objectives of the American Recovery and Reinvestment Act of 2009, P.L. 111-5, especially job creation, and/or preservation and economic recovery in an expeditious manner.

## **B. REVIEW AND AWARD PROCESS**

### **1. Merit Review**

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance." This guide is available under Financial Assistance, Regulations and Guidance at <http://www.management.energy.gov/documents/meritrev.pdf>.

### **2. Selection**

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

### **3. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

## **D. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

DOE is striving to make awards within eight (8) months. The time interval begins on the date applications are due or the date the application is received, if there is no specified due date/deadline.

## Part VI - AWARD ADMINISTRATION INFORMATION

### A. AWARD NOTICES

#### 1. Notice of Selection

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Part IV.G with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### 2. Notice of Award

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

### B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

#### 1. Administrative Requirements

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

#### **ARRA 2009 Award Administration Information**

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

#### 2. Special Terms and Conditions and National Policy Requirements

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

The National Policy Assurances To Be Incorporated As Award Terms are located at DOE [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

#### **Intellectual Property Provisions**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/financial\\_assistance\\_awards.htm](http://www.gc.doe.gov/financial_assistance_awards.htm).

## **C. REPORTING**

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

## **PART VII - QUESTIONS/AGENCY CONTACTS**

### **A. QUESTIONS**

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

### **B. AGENCY CONTACT**

Name: Diane M. Franklin  
E-mail: [diane.franklin@netl.doe.gov](mailto:diane.franklin@netl.doe.gov)  
FAX: 304.285.0986  
Telephone: 304.285.4609

## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

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

### **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

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

### **C. COMMITMENT OF PUBLIC FUNDS**

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

### **D. PROPRIETARY APPLICATION INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“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 herein 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.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

### **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an

application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

## **SECTION IX - ATTACHMENTS**

### **ATTACHMENT A – REPORTING REQUIREMENTS**

See Attachment A for Reporting Requirements.

### **ATTACHMENT B – PROJECT MANAGEMENT PLAN TEMPLATE**

See Attachment B for Project Management Plan template.