

## 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 and join the Response Team 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 Initial 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 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:**

Awards under this announcement will be funded with the Office of Electricity Delivery and Energy Reliability (OE), American Reinvestment and Recovery Act (ARRA) Funds.

Since the goal of the American Recovery and Reinvestment Act of 2009 (ARRA), in part, is to: "facilitate recovery from disruptions to the energy supply" and "enhanced reliability and quicker repair of outages," this initiative will create jobs at the State level and allow States to have well-developed, standardized energy assurance and resiliency plans that they can rely on during energy emergencies and supply disruptions. State 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, called "The Enhancing State Government Energy Assurance Capabilities and Planning for Smart



Grid Resiliency Initiative” (hereinafter called the State EA 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, 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.

Through Cooperative Agreement Number DE-FC26-07NT43264, NASEO, with DOE, has prepared the State Energy Assurance Guidelines (<http://www.naseo.org/eaguidelines/>), which is expected to serve as a model for State Energy Offices in developing or revising the Energy Assurance plans under this initiative.

## **2. Purpose/Objectives:**

The purposes of this initiative are to: 1) strengthen and expand State and local government energy assurance planning and resiliency efforts by incorporating response actions for new energy portfolios and Smart Grid applications, 2) create jobs, and 3) build in-house State and local government energy assurance expertise. The initiative will focus on building regional energy assurance capability to allow States to better coordinate and communicate state-wide and with one another, on energy security, reliability, and emergency response issues. The following activities shall be addressed when structuring projects under this funding opportunity:

- Create in-house expertise at the State 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.
- Develop new, or refine existing, Energy Assurance Plans to incorporate response actions to new energy portfolios, including Smart Grid technologies.
- Revise appropriate State policies, procedures and practices to reflect the Energy Assurance Plans. States should append the Energy Assurance Plan to the State Energy Plan, as appropriate.
- Develop and initiate a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.
- Train appropriate personnel on energy infrastructure and supply systems and the content and execution of energy assurance plans.
- Conduct energy emergency exercises (intra and interstate) to evaluate the effectiveness of the energy assurance plans.

The results of the funding provided for the projects will be assessed according to the following performance metrics:

- Number of energy assurance plans created or substantially revised.
- Number of jobs created within State government agencies for energy assurance planning and response capabilities.
- Number of energy assurance training sessions, workshops and/or exercises conducted.
- Number of people trained.

States cannot use the funds received through this FOA for any activities funded by Annual or ARRA State Energy Program funds, nor can the funds under those programs be used for activities under this FOA. Essentially, funds received under this announcement can not 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.

## **3. Benefits**

The anticipated benefits of this initiative are:

1. Creating more current or up-to-date energy assurance plans will incorporate new energy portfolios such as renewables, biofuels, and Smart Grid technologies, etc. Updating EA plans to reflect these portfolios will allow States to be more informed and better prepared when responding to energy emergencies.
2. Creating in-house expertise at the State 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 will allow State agencies to better identify energy events and assess supply disruptions. Building expertise and capability will help agencies be more aware of how energy systems work and their importance to other sectors. This will also help States quantify the severity and identify the duration of an energy supply disruption. Enhancing in-house energy assurance capability will ultimately reduce the response, restoration and recovery time from energy supply disruption events.

3. Better coordination across State agencies and between states and localities regionally 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.

#### **C. FORMULA FOR ALLOCATION OF FUNDS**

The formula for allocating funding is comprised of a base allocation (\$11,200,000), with the balance (\$28,300,000) distributed based on population according to the 2008 U.S. Census data. The proposed funding allocation is contained in Attachment A.



## PART II – AWARD INFORMATION

### **A. TYPE OF AWARD INSTRUMENT**

DOE anticipates awarding grants under this funding opportunity announcement.

### **B. ESTIMATED FUNDING**

Approximately \$39,500,000 is expected to be available for new awards under this announcement. The funds will be distributed on a formula-basis in accordance with the funding allocations contained in Attachment A.

### **C. MAXIMUM AND MINIMUM AWARD SIZE**

In accordance with the funding allocation, as shown in Attachment A, DOE anticipates that the awards will range from \$205,257 to \$3,572,526.

### **D. EXPECTED NUMBER OF AWARDS**

DOE anticipates making up to 56 awards under this funding opportunity announcement.

### **E. PERIOD OF PERFORMANCE**

DOE anticipates making awards with performance periods not to exceed 3 years.

### **F. TYPE OF APPLICATION**

DOE will accept only new applications under this announcement.

## PART III - ELIGIBILITY INFORMATION

### A. ELIGIBLE APPLICANTS

Eligibility for award is restricted to States, Territories (Puerto Rico, US Virgin Islands, American Samoa, Guam, and Northern Mariana Islands), and the District of Columbia (hereinafter "States"). This funding opportunity is intended for the State Energy Offices. The State Energy Offices may make sub-awards to other State agencies, entities, or functions having the responsibility, as recognized within the State, for energy assurance planning.

### B. COST SHARING

Cost sharing is not required.

## PART 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. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of 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.

**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