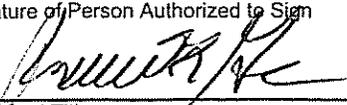


ORIGINAL

| ASSISTANCE AGREEMENT | | | | |
|---|----------------------------|--|--|---|
| 1. Award No. DE-OE0000103 | | 2. Modification No. | 3. Effective Date 08/12/2009 | 4. CFDA No. 81.122 |
| 5. Awarded To OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379 | | 6. Sponsoring Office U.S. DOE/NETL Pittsburgh Campus 626 Cochrans Mill Road PO Box 10940 Pittsburgh PA 15236-0940 | | 7. Period of Performance 08/12/2009 through 08/14/2012 |
| 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. 09OE000189 | |
| 11. Remittance Address OFFICE OF POLICY AND MANAGEMENT, CONNECTICUT Attn: MARYANN PALMAROZZA 450 CAPITOL AVENUE HARTFORD CT 061061379 | | 12. Total Amount Govt. Share: \$521,250.00 Cost Share : \$0.00 Total : \$521,250.00 | | 13. Funds Obligated This action: \$521,250.00 Total : \$521,250.00 |
| 14. Principal Investigator Raymond Wilson Phone: 860-418-6441 | | 15. Program Manager Joseph L. Hanna Phone: 304-285-4482 | | 16. Administrator U.S. DOE/NETL Pittsburgh Campus 626 Cochrans Mill Road PO 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 See Rpt Requirement Ck1st |
| 20. Accounting and Appropriation Data See Page 2 | | | | |
| 21. Research Title and/or Description of Project RECOVERY ACT-ENERGY ASSURANCE PLANNING-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  | | |
| 23. Name and Title | | 24. Date Signed | 26. Name of Officer MARTIN J. BYRNES | 27. Date Signed 08/12/2009 |

| | | | |
|---------------------------|---|------|----|
| CONTINUATION SHEET | REFERENCE NO. OF DOCUMENT BEING CONTINUED | PAGE | OF |
| | DE-OE0000103 | 2 | 2 |

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) |
|-----------------|---|-----------------|-------------|-------------------|---------------|
| | <p>DUNS Number: 807853015</p> <p>"BLOCK 9 AUTHORITY: 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."</p> <p>CONTRACT SPECIALIST: RAE LYNN NOGA 626 COCHRANS MILL ROAD PITTSBURGH, PA 15236 PHONE: 412-386-4992 RAE LYNN.NOGA@NETL.DOE.GOV</p> <p>PROJECT OFFICER: JAY HANNA 3610 COLLINS FERRY ROAD MORGANTOWN, WV 26505 PHONE: 304-285-4482 JOSEPH.HANNA@NETL.DOE.GOV</p> <p>BUSINESS OFFICER: MR. RAYMOND WILSON 450 CAPITOL AVE, MS 52ENR HARTFORD, CT 06106 PHONE: 860-418-6441 RAYMOND.WILSON@CT.GOV</p> <p>ASAP: Yes Extent Competed: NOT AVAIL FOR COMP Delivery Location Code: 02601 U.S. DOE/NETL Pittsburgh Campus 626 Cochrans Mill Road PO Box 10940 Pittsburgh PA 15236-0940</p> <p>Payment: Payment - Direct Payment from U.S. Dept of Treasury Fund: 05846 Appr Year: 2009 Allottee: 31 Report Entity: 220530 Object Class: 41000 Program: 3123765 Project: 2006080 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0328</p> | | | | |

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SPECIAL TERMS AND CONDITIONS

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 | Statement of Project Objectives |
| 3 | Federal Assistance Reporting Checklist |
- c. Applicable program regulations.
- d. DOE Assistance Regulations, 10 CFR Part 600 at <http://ecfr.gpoaccess.gov> and if the award is for research and to a university or non-profit, the Research Terms & Conditions and the DOE Agency Specific Requirements at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.
- 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.

LIMITATION OF FUNDING

The recipient is not authorized to expend more than 20% of the obligated funds until the DOE Project Officer approves the recipient's Project Management Plan (PMP) and Workforce Development Plan (WDP). DOE reserves the right to place a hold on the recipient's ASAP account if the PMP and WDP are not submitted by the due date set forth in the Deliverables Section of the Statement Project Objectives.

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.

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.

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's 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(s) *DE-OE0000103*."

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 or are referenced on the Agreement Face Page. 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.

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 grand 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 ACT

- (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.

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.

DE-OE0000103

Attachment 1 – Intellectual Property Provisions

**Intellectual Property Provisions (NRD-1003)
Nonresearch and Development**

Nonprofit organizations are subject to the intellectual property requirements at 10 CFR 600.136(a), (c) and (d). All other organizations are subject to the intellectual property requirements at 10 CFR 600.136(a) and (c).

600.136 Intangible property.

(a) Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. DOE reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish or otherwise use the work for Federal purposes, and to authorize others to do so.

(c) DOE has the right to:

(1) Obtain, reproduce, publish or otherwise use the data first produced under an award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

(d) In addition, in response to a Freedom of Information act (FOIA) request for research data relating to published research findings produced under an award that were used by the Federal Government in developing an agency action that has the force and effect of law, the DOE shall request, and the recipient shall provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the DOE obtains the research data solely in response to a FOIA request, the agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect the costs incurred by the agency, the recipient, and applicable subrecipients. This fee is in addition to any fees the agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

THE STATE OF CONNECTICUT, OFFICE OF POLICY AND MANAGEMENT
ATTACHMENT 2 -STATEMENT OF PROJECT OBJECTIVES (SOPO)

A. OBJECTIVES

The objectives 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 focuses on building regional energy assurance capability to allow the State to better coordinate and communicate state-wide and with one another, on energy security, reliability, and emergency response issues.

B. SCOPE OF WORK

The following activities are addressed under this initiative:

- 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.
- Development and initiation of 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 inter-state) 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

C. TASKS TO BE PERFORMED

Task 1.0 - Project Management Plan

The recipient will prepare a Project Management Plan (PMP) in accordance with the provided PMP

template that details the work elements required to manage and report on activities in accordance with the American Recovery and Reinvestment Act (ARRA) and grant requirements. This Plan will also document the 3-year plan and project budget for carrying out all Tasks and completing all Deliverables under this Grant. It is anticipated that this document may be periodically revised during the performance period, but will at all times provide sufficient detail to plan, carry out and monitor all project activities.

Task 2.0 – Workforce Development Plan

The recipient will prepare and follow a Workforce Development Plan that results in development of in-house expertise at the State level on energy assurance planning with an emphasis on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications. The Plan will address hiring, retaining, and training personnel in these areas.

Task 3.0 – Energy Assurance Planning

The recipient will develop a new, or substantially refine its existing, Energy Assurance Plan to incorporate response actions for new energy portfolios, including Smart Grid technologies. The Energy Assurance Plan shall address, at a minimum, Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications. Through Cooperative Agreement Number DE-FC26-07NT43264, NASEO, with DOE, has prepared the State Energy Assurance Guidelines, which may serve as a model for State Energy Offices in developing or revising the Energy Assurance plans under this initiative. (link: www.naseo.org/eaguidelines) The recipient will revise appropriate State policies, procedures and practices to reflect the State's Energy Assurance Plan. The State will append its Energy Assurance Plan to the State Energy Plan, as appropriate.

Task 4.0 – Energy Supply Disruption Tracking Process

The recipient will initiate a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.

Task 5.0 - Energy Assurance Exercise

The recipient will develop a strategy to exercise its Energy Assurance Plan, simulating, through table-top exercises, energy emergency/disruptions, both within the state (including municipal and county governments as well as pertinent state agencies such as Public Utility Commissions and Emergency Management Offices) and on a multi-state or regional scale, incorporating local, state and federal agencies and industry as appropriate. The recipient shall conduct, or participate in at least two exercises as described below

Subtask 5.1 – Conduct at least one intra-State training/exercise that includes players from State agencies, local governments, industry and Federal partners, as appropriate. The recipient shall prepare an exercise after-action report, which will result in actionable items and any necessary revisions/modifications to the Energy Assurance Plan.

Subtask 5.2 – Participate in and/or conduct at least one inter-State/Regional exercise that includes players from neighboring States, local governments, industry and Federal partners, as appropriate. The recipient shall prepare an exercise after-action report, which will result in actionable items and any necessary revision/modifications to the Energy Assurance Plan.

D. DELIVERABLES

Reports shall be submitted in accordance with the "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist included as Attachment 3 to this agreement. In addition, the following deliverables, as well as the deliverables identified/described in the Project Management Plan, are required:

Deliverable 1.0 – Project Management Plan (Plan due 60 days after the award and revised as necessary throughout the performance period.)

Deliverable 2.0 – Workforce Development Plan (Plan due 90 days after the award and revised periodically if necessary throughout the performance period.)

Deliverable 3.0 – Energy Assurance Plan (The initial Energy Assurance Plan is due 18 months after the award and revised (if necessary) following the energy assurance exercises. A final Energy Assurance Plan shall be delivered at the completion of the performance period.)

Deliverable 4.0 – Documented process or procedure for tracking the duration, response, restoration and recovery time of energy supply disruption events. (Due one year after the award.)

Deliverable 5.0 – Energy Assurance Exercise Summary and After-Action Report(s)

Deliverable 5.1 - The intra-state training/exercise(s) must be completed within 24 months after the award, with an after-action report delivered 30 days following the exercise.

Deliverable 5.2 - The inter-state/regional training/exercise(s) must be completed within 30 months after the award, with an after-action report delivered 30 days following the exercise.

ATTACHMENT 3

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

| | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|---|---|--|--|---|--|-------------|---|---|-------------|--|--|--|---|
| 1. Identification Number: DE-OE0000103 | 2. Program/Project Title: Recovery Act - Enhancing State Government Energy Assurance Capabilities and Planning for Smart Grid Resiliency | | | | | | | | | | | | | | | | | |
| 3. Recipient: Connecticut Office of Policy and Management | | | | | | | | | | | | | | | | | | |
| 4. Reporting Requirements: A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Special Status Report | Frequency Q, F | No. of Copies Upload only 1 copy to the address in the next column at the interval specified in the previous column. | Addressees https://www.eere-pmc.energy.gov/SubmitReports.aspx | | | | | | | | | | | | | | | |
| B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/elink) <table style="width: 100%; border: none;"> <tr> <td style="text-align: center;">Report/Product</td> <td style="text-align: center;">Form</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE F 241.3</td> <td style="text-align: center;">http://www.osti.gov/elink-2413</td> </tr> <tr> <td><input type="checkbox"/> Conference papers/proceedings*</td> <td>DOE F 241.3</td> <td style="text-align: center;">http://www.osti.gov/elink-2413</td> </tr> <tr> <td><input type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> <td style="text-align: center;">http://www.osti.gov/estsc/241-4pre.jsp</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 | http://www.osti.gov/elink-2413 | <input type="checkbox"/> Conference papers/proceedings* | DOE F 241.3 | http://www.osti.gov/elink-2413 | <input type="checkbox"/> Software/Manual | DOE F 241.4 | http://www.osti.gov/estsc/241-4pre.jsp | <input type="checkbox"/> Other (see Special Instructions) | DOE F 241.3 | | | | http://www.osti.gov/elink-2413 http://www.osti.gov/elink-2413 http://www.osti.gov/estsc/241-4pre.jsp |
| Report/Product | Form | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Final Scientific/Technical Report | DOE F 241.3 | http://www.osti.gov/elink-2413 | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Conference papers/proceedings* | DOE F 241.3 | http://www.osti.gov/elink-2413 | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Software/Manual | DOE F 241.4 | http://www.osti.gov/estsc/241-4pre.jsp | | | | | | | | | | | | | | | | |
| <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 | | https://www.eere-pmc.energy.gov/SubmitReports.aspx | | | | | | | | | | | | | | | |
| D. CLOSEOUT REPORTING <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other (see Special Instructions) | F | | https://www.eere-pmc.energy.gov/SubmitReports.aspx SEE NOTE 1 | | | | | | | | | | | | | | | |
| E. OTHER REPORTING <input checked="" type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory Report of Federally Owned Property, if any <input checked="" type="checkbox"/> Other – Deliverables Identified in the SOPO and/or PMP | A A | | https://www.eere-pmc.energy.gov/SubmitReports.aspx SEE NOTE 2 | | | | | | | | | | | | | | | |
| F. AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING <input checked="" type="checkbox"/> Reporting and Registration Requirements | A | | 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. | | | | | | | | | | |
| 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. | | | | | | | | | | | | | | | | | | |
| 5. Special Instructions: Forms are available at https://www.eere-pmc.energy.gov/forms.aspx . NOTE 1: 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 . NOTE 2: Please refer to the deliverables as outlined in the Statement of Project Objectives. | | | | | | | | | | | | | | | | | | |

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.

B. SCIENTIFIC/TECHNICAL REPORTS – NOT APPLICABLE

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.

OTHER

See additional required deliverables identified in the Statement of Project Objectives (SOPO) and the Project Management Plan (PMP).

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.