



**ALABAMA DEPARTMENT OF ECONOMIC AND COMMUNITY AFFAIRS
ENERGY DIVISION**

State Energy Plan – American Recovery and Reinvestment Act

April 21, 2009 – April 30, 2012

State Energy Plan – American Recovery and Reinvestment Act

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**ALABAMA DEPARTMENT OF ECONOMIC AND COMMUNITY AFFAIRS
ENERGY DIVISION**

**Bob Riley
Governor**

**Doni M. Ingram
Director**

**Terri L. Adams
Division Director**

Through American Recovery and Reinvestment Act (ARRA) funding to its State Energy Program (SEP), Alabama will significantly increase its investments in energy efficiency and renewable energy in the public and private sectors, reduce greenhouse gas emissions, and help build a sustainable energy economy and workforce by creating and retaining jobs. To assist in meeting these goals, Alabama has identified eight focus areas for ARRA State Energy Program funds. Development and expansion of these programs will accomplish the goals of ARRA as well as the State’s goal of increasing energy efficiency and renewable energy in Alabama.

The Energy Division will utilize its existing partnerships with energy stakeholders in Alabama to achieve the goals set forth by ARRA. These partnerships allow for expeditious disbursement of funds based on proven success of previously funded programs. By releasing a solicitation for proposals, the Energy Division has prompted future subgrantees to develop their projects for rapid implementation when funding becomes available. In addition, this allows the Energy Division to assess the proposed projects prior to implementation to ensure they have the capability to achieve ARRA goals on an expedited schedule. As projects become “shovel-ready”, the ability to stimulate the creation or retention of jobs greatly increases along with energy savings, renewable energy generation, and reduction of greenhouse gas emissions.

When funds become available, the Energy Division plans to immediately issue subgrant agreements in order for subgrantees to begin implementation of their projects. Furthermore, subgrant periods will be established to maximize accomplishments towards ARRA goals in the shortest amount of time. The Energy Division anticipates spending a large amount of funds within the first 18 months. Many projects can be implemented immediately and completed in a relatively short amount of time.

Alabama commits that SEP-ARRA funds will not be used to supplant or replace existing state or other funding. No rate-payer funded programs exist in Alabama.

Program Area	ARRA Allocation
Revolving Loan Program	\$25,000,000
Energy-Efficient Retrofits of K-12 Schools	\$5,000,000
State Correctional Facilities Retrofit Program	\$20,965,000
Training Seminars on Building Energy Codes	\$200,000
Energy Audit Training Seminars	\$50,000
Home Energy Rating System (HERS) Training Seminars	\$50,000
High Performance Building Training Seminars	\$200,000
Automotive Industrial Efficiency Program	\$600,000
Agency Indirect Cost & Program Management	\$3,505,000
TOTAL:	\$55,570,000

Energy Revolving Loan Fund

A new Energy Revolving Loan Fund will be developed to stimulate the creation and/or retention of jobs, improve energy efficiency and increase the generation of renewable energy by providing low interest rate loans for the installation of renewable energy systems and the implementation of energy efficiency measures for new and existing industries in Alabama. Allowable expenditures for loan funds will include equipment and equipment installation labor costs for renewable energy systems and energy-efficient fixtures and retrofits installed on property owned by the loan applicant. Eligible renewable energy systems may employ solar, biomass, biofuels, geothermal, micro-hydroelectric, methane capture and use, and/or fuel cell technologies. Eligible energy efficient fixtures and retrofits may include, but will not be limited to, mechanical systems and components including HVAC and hot water, electrical systems and components including lighting and energy management systems, doors and windows, insulation, refrigeration, and combined heat and power. The target

audience for the loan program will be new and existing industries located in Alabama. The Revolving Loan Fund will extend the scope of federal recovery funds and ensure that these funds continue to support the state's commitment to energy efficiency and renewable energy well into the future by providing an ongoing source of revenue to implement energy efficiency measures and continue the expansion of renewable energy in the state.

This program will require the Energy Division to enter into a subgrant agreement with an experienced and qualified third party entity to develop and administer the program, provide loans for energy efficiency projects and promote the Energy Revolving Loan Program. This entity, which will serve as the RLF administrator, will be selected through a competitive process consistent with Alabama Law and DOE requirements for ARRA SEP funds. This entity will be paid an administrative charge resulting from each loan project on a percentage basis.

All loan applications will be reviewed by the contracting entity and by the Energy Division. Loan applicant projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Loan applicants will be required to complete a NEPA form for proposed projects. It is anticipated that the interest rate will be initially set at two percent. Loan terms will be for a maximum of 10 years. The maximum amount that can be borrowed will be \$4,000,000 and the minimum amount that can be borrowed will be \$250,000. Loan funds can be used for up to 100 percent of total eligible project costs.

The RLF administrator will obtain adequate and appropriate financial security from borrowers and protect the interests of the revolving loan fund. Appropriate credit underwriting procedures will be developed and utilized to ensure the credit worthiness of loan applicants. All loans will be properly secured and will require an irrevocable letter of credit. The administrator will determine, on a case-by-case basis, whether a lien on the property is appropriate collateral. Other collateral may include security interests in equipment and accounts. All loans will be monitored by the RLF administrator and by the Energy Division.

Energy-Efficient Retrofits of Schools

The Energy Division has funded the Energy-Efficient Retrofits of Schools Program since 2006. The program has shown great success through the reduction of energy expenditures in K-12 schools located in favored geographic areas of Alabama. The SEP-ARRA expansion of this program will make retrofit funds available to school districts statewide and eligibility will be based on economic needs criteria established by the Division. In addition to energy-related benefits, the program assists Alabama's schools provide a better education by creating an improved learning environment for the students. The program will assist in the purchase and installation of energy-efficient equipment and materials for an estimated 30 school districts. Potential energy saving projects for school buildings may include, but are not limited to: retrofits to lighting, HVAC, insulation, building envelope sealing and improvements, and exterior door and window replacement. The measures will increase energy efficiency, assist in the creation and retention of jobs through the reduction of energy expenditures, reduce greenhouse gas emissions, and increase the use of renewable energy in Alabama by installing geothermal heat pumps and photovoltaic systems.

Program participants will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. The applicant projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, and cost savings.

Energy Retrofits of State Correctional Facilities

The Energy Division will provide funds to reduce energy consumption and energy costs in Alabama correctional facilities through improved energy efficiency and the employment of renewable energy technology applications to save energy costs. In addition, retrofit project activities will provide for both direct and indirect employment opportunities. Also as a result, Alabama Department of Corrections (ADOC) utility budgets will be reduced allowing savings to be utilized to avert employee furloughs or layoffs due to mandated State General Fund budget reductions. The retrofit program will be used to implement eligible efficiency and renewable measures identified through investment-grade audits. Specific retrofit projects will be evaluated based, in part, on their potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. These funds will be leveraged through Performance Contracting currently under development.

Implementation of the Performance Contract will significantly improve the overall impact of this funding. Boilers will be replaced, repaired or converted to biomass; geothermal (ground coupled) heat pumps will replace air source heat pumps or gas furnaces; lighting will be upgraded with controls and more efficient technologies; HVAC equipment will be upgraded with controls, variable frequency drives, steam traps and high efficiency motors; chiller controls will be upgraded; laundry systems will be converted to ozone systems; solar water heating systems will be installed in multiple locations; infrared gas heat will be installed at one facility; and biodiesel production will be installed at multiple locations.

By using the renewable energy biomass systems in a distributed energy situation, renewable energy is produced that displaces both electricity (from coal) and heat from natural gas. Over one megawatt of power will be generated from biomass displacing the coal consumed for the production of electricity. The heat that is produced as a by product of the electricity production will be utilized at each location to displace natural gas purchased for thermal needs. This approach will also produce multiple benefits beyond energy and provide many opportunities to further the application of this technology to improve the distributed energy system in Alabama.

Additionally, inmates will have training opportunities to learn the effective operation of renewable energy systems. Inmates leaving the facility to participate in a work release program will have the experience to help these other facilities adopt these same technologies.

As the second most costly utility to ADOC, water waste will also be addressed. Reducing all utility waste while generating electricity and thermal energy simultaneously will put the ADOC in a much better operating position for many years into the future.

This program will require the Energy Division to enter into an interagency agreement with Alabama Department of Corrections to implement retrofit projects in 30 facilities. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability.

Training Seminars on Building Energy Codes

Building Energy Code seminars will provide training for code officials, engineers, architects, building inspectors, residential and commercial builders, and subcontractors on the 2009 version of the International Energy Conservation Code (IECC) for residential construction and ANSI/ASHRAE/IESNA Standard 90.1-2007 for commercial construction. A more concise presentation will also be developed to provide advocacy for the adoption and enforcement of energy codes energy codes to local government policy makers and planners. The benefits of adopting and building to these energy code standards will be stressed in all presentations and reservations regarding adoption and enforcement will be addressed. Training sessions will be held throughout the state to ensure geographical distribution. The entity conducting the seminars will solicit participants,

obtain training locations, provide Continuing Education credits, and provide official certification documents for each training session. The Energy Division will also utilize the training and advocacy services offered by the Building Codes Assistance Project (BCAP) to encourage code adoption. BCAP provides states with custom-tailored assistance on building energy code adoption and implementation, code advocacy and technical assistance on behalf of the U.S. Department of Energy. This proposed Program will support the Governor's effort to adopt more stringent energy codes and will provide various implementation and support services to the entire building community, and work aggressively to achieve compliance in the commercial and residential sectors. The Pacific Northwest National Laboratories (PNNL) is also in the process of developing several tools to assist states in measuring compliance for reporting purposes to DOE. The Energy Division will be utilizing these tools or other approved methodologies to ensure 90 percent compliance as required in the Recovery Act.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for building energy codes. The subgrantee will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers will be required to demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

Energy Audit Training Seminars

Energy Audit Seminars will provide training and training materials for individuals including engineers, architects, subcontractors, builders and other individuals interested in becoming certified to offer residential and commercial energy audits. This training is not to provide certification for Home Energy Rating System (HERS) raters. Upon completion, certified auditors will be able to perform a full energy audit of building envelope and all systems including lighting, heating, ventilating and air conditioning (HVAC) equipment, heat recovery, load management, and energy management. Certification will be obtained in either residential energy auditing, commercial energy auditing or both by trainees. Training sessions will be held throughout the state to ensure geographical distribution. The entity conducting the seminars will solicit participants, obtain training locations, provide Continuing Education credits, and official certification documents for each training session. Both residential and commercial energy auditors are needed in the state to assist homeowners, business owners, local governments and schools in making sound decisions on energy conservation measures based on data gathered through audits.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for conducting building energy audits. The subgrantee will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers must demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

Home Energy Rating System (HERS) Training Seminars

With rising energy costs and the increased demand for homes that are more energy-efficient, the need for certified HERS raters will only increase. The Energy Division has previously offered HERS training for interested participants with great success. Additional seminars will enable those who were unable to attend the previous course the opportunity to participate in the training and become certified raters. HERS seminars will provide a minimum of two training courses for certification in RESNET's HERS program. The training courses will be held at the training provider's location, or other locations within the state of Alabama. Reimbursement will be

provided for participants who pass the course and become fully certified before the end of the 3-year contract period.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for the Home Energy Rating System. Subgrantees will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers must be a certified RESNET HERS Training Provider or contract with a certified RESNET HERS Training Provider, and also demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

High Performance Building Training Seminars

High Performance Building seminars will provide training for architects, engineers, contractors and owners in properly designing, constructing, commissioning and operating a high-performance building. The long-term goal of this training is to make changes in the way buildings are sited, oriented, designed, built, operated, maintained and renovated to reduce the lifetime costs of state-funded and private commercial buildings while improving their environmental performance and increasing the productivity of the people in them. Several training sessions will be held throughout the state to ensure geographical distribution. The entity conducting the seminars will solicit students, obtain training locations, provide Continuing Education credits, and official certification documents for each training session. Although the training does not require adhering to a specific program such as LEED, or Green Globe, the following topics will be covered in the program:

- ASHRAE 90.1-2007: the definition of a High Performance Building.
- High Performance for existing buildings.
- Designing for a commissionable High Performance Building.
- Evaluating the performance of the High Performance Building while in warranty period.
- Budgeting for maintenance of a High Performance Building.
- Training for maintenance of a High Performance Building.
- Evaluating the long term performance of the building.
- Assigning responsibilities for building performance.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for the design, construction, commissioning and operation of high performance buildings. Program participants will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers will be required to demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

Automotive Industrial Efficiency Program

The Energy Division will target the automotive supplier industry in the state to receive assistance to stabilize employment, reduce costs, improve processes and reduce energy consumption. The state proposes to provide for the rapid deployment of approximately forty continuous improvement or “Kaizen” events focused on lean manufacturing/clean energy that will directly impact one third of the 120 first-tier automotive manufacturing suppliers in the state. Industry experts estimate that approximately 2,000 of the 6,000 workers employed by these identified employers are immediately at risk of losing their jobs due to the current economic climate. This program will identify and implement specific savings opportunities that will reduce energy demand,

carbon output, and waste stream output. As a result, profitability and competitiveness will improve and industry employment will stabilize through reduced layoffs and hopefully call backs of furloughed and laid-off workers.

The goals and objectives of this activity are to improve energy efficiency. To meet the nation's energy needs, there are two options: create more sources of power or use less. The lean and clean activities focus on the later. Lean manufacturing focuses on reducing the energy intensity on a per unit basis by identifying and reducing wastes in processes. As bottlenecks are eliminated and throughput is increased, the energy per unit decreases, (i.e. producing more units with roughly the same amount of energy). The clean portion focuses on the resources used (e.g. raw materials and energy) and the waste streams generated in processes. Through training and mapping activities, the processes that consume the most resources and generate the most waste will be identified and targeted for improvement. Energy training in industry best practices is included to rapidly disseminate energy saving measures to industry. In addition to identifying opportunities to improve energy efficiency, this activity will include implementation of ideas. The continuous improvement activities or "kaizen" events will be weeklong events where improvement ideas are immediately implemented by team members giving companies instant energy reduction. Items that cannot be implemented immediately will be managed on a project basis by companies.

Implementation of this program will require the Energy Division to enter into a subgrant agreement with a third party entity to conduct lean/clean continuous improvement events. Selection of the subgrantee will be made through a competitive process consistent with Department of Energy requirements for ARRA SEP funds.

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. Amendment number:	EE00224 A000	2. Program/Project Title State Energy Program
3. Name and Address	Alabama Dept. of Econ. and Com P.O. Box 5690 Montgomery AL 36103-5690	4. Program/Project Start Date 04/21/2009
		5. Completion Date 04/30/2012

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE	81.041	\$ 0.00		\$ 55,570,000.00		\$ 55,570,000.00
2. GRANTEE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTALS		\$ 0.00	\$ 0.00	\$ 55,570,000.00	\$ 0.00	\$ 55,570,000.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity					Total (5)
	(1)	DOE	(2)	(3)	(4)	
a. Personnel		\$ 753,686.00				\$ 753,686.00
b. Fringe Benefits		\$ 310,089.00				\$ 310,089.00
c. Travel		\$ 60,000.00				\$ 60,000.00
d. Equipment		\$ 0.00				\$ 0.00
e. Supplies		\$ 32,037.00				\$ 32,037.00
f. Contractual		\$ 52,065,000.00				\$ 52,065,000.00
g. Construction		\$ 0.00				\$ 0.00
h. Other		\$ 63,300.00				\$ 63,300.00
i. Total Direct Charges		\$ 53,284,112.00				\$ 53,284,112.00
j. Indirect Charges		\$ 2,285,888.00				\$ 2,285,888.00
k. Totals		\$ 55,570,000.00				\$ 55,570,000.00
7. Program Income		\$ 0.00				\$ 0.00

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Automotive Industrial Efficiency Program

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 322,580.00 MBtus

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Automotive Industrial Efficiency Program

The Energy Division will target the automotive supplier industry in the state to receive assistance to stabilize employment, reduce costs, improve processes and reduce energy consumption. The state proposes to provide for the rapid deployment of approximately forty continuous improvement or "Kaizen" events focused on lean manufacturing/clean energy that will directly impact one third of the 120 first-tier automotive manufacturing suppliers in the state. Industry experts estimate that approximately 2,000 of the 6,000 workers employed by these identified employers are immediately at risk of losing their jobs due to the current economic climate. This program will identify and implement specific savings opportunities that will reduce energy demand, carbon output, and waste stream output. As a result, profitability and competitiveness will improve and industry employment will stabilize through reduced layoffs and hopefully call backs of furloughed and laid-off workers.

The goals and objectives of this activity are to improve energy efficiency. To meet the nation's energy needs, there are two options: create more sources of power or use less. The lean and clean activities focus on the later. Lean manufacturing focuses on reducing the energy intensity on a per unit basis by identifying and reducing wastes in processes. As bottlenecks are eliminated and throughput is increased, the energy per unit decreases, (i.e. producing more units with roughly the same amount of energy). The clean portion focuses on the resources used (e.g. raw materials and energy) and the waste streams generated in processes. Through training and mapping activities, the processes that consume the most resources and generate the most waste will be identified and targeted for improvement. Energy training in industry best practices is included to rapidly disseminate energy saving measures to industry. In addition to identifying opportunities to improve energy efficiency, this activity will include implementation of ideas. The continuous improvement activities or "kaizen" events will be weeklong events where improvement ideas are immediately implemented by team members giving companies instant energy reduction. Items that cannot be implemented immediately will be managed on a project basis by companies.

An example of lean and clean improvements:

Take a heated chemical dip tank as a bottleneck in a process. Lean improvements would include speeding up the dipping process by reducing change over times, identifying and performing proper maintenance on the material handling equipment and tank, and creating standardized work on the best method for operation the equipment. These improvements could improve the throughput of the operation dramatically. If the demand stays the same, the amount of time the equipment has to operate can be reduced. The clean portion would probe into the chemical being used, how much is used, how much is wasted, how many parts can be dipped before it must be changed out, what alternatives are there to this chemical, can we eliminate this chemical, is this process even necessary, does the chemical have to be heated, what is the correct operational temperature of the equipment, are there alternate methods for heating the chemical, how many hours does it operate, is it left running when not being used, etc... Best practices would include proper pump maintenance on the tank, and installing insulation on the tank to prevent heat from radiating away, determining the proper illumination needed in the work area and determining the least energy intensive method of providing it, sequencing of startup of equipment to avoid peak demands. Most of these improvements can be implemented in a week's time. Finding an alternative chemical might be a longer process and can be managed on a project basis. These combined activities

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STATE ENERGY PROGRAM (SEP)
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OMB: Control No. 1910-5126
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(Grant Number: EE00224)

Market Title: Automotive Industrial Efficiency Program

will reduce the energy demand, reduce the carbon footprint, and reduce the amount of waste output of the participant companies.

Implementation of this program will require the Energy Division to enter into a subgrant agreement with a third party entity to conduct lean/clean continuous improvement events. Selection of the subgrantee will be made through a competitive process consistent with Department of Energy requirements for ARRA SEP funds.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	Identify participants for Kaizen events	40
2	Conduct Kaizen events at identified automotive industry suppliers	40
3	Prepare critical annual reporting metrics for ARRA Annual Reports	3
4	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
5	Prepare quarterly Program Status Reports (PSRs)	12
6	Prepare Final Narrative Report	1
7	Prepare Annual Energy Savings Report	3

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	7
Number of jobs retained	2,000
Total Jobs	2,007

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Industrial Process Efficiency	
Reduction in natural gas consumption	
Reduction in natural gas consumption	1,952
Industrial Process Efficiency	
Reduction in electricity consumption	
Reduction in electricity consumption	1,279

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

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(08/05)

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

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

(Grant Number: EE00224)

Market Title: Automotive Industrial Efficiency Program

a. SEP Grant (all funds in the approved budget)	
DOE	\$600,000.00
Market Budget Total	\$600,000.00
b. Leveraged funds anticipated (outside approved budget)	

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(08/05)

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

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

(Grant Number: EE00224)

Market Title: Energy Audit Training Seminars

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 49,195.00 MBtus

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

DOE F 540.1
(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
NARRATIVE INFORMATION WORKSHEET
(Grant Number: EE00224)

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

Market Title: Energy Audit Training Seminars

Energy Audit Seminars will provide training and training materials for individuals including engineers, architects, subcontractors, builders and other individuals interested in becoming certified to offer residential and commercial energy audits. This training is not to provide certification for Home Energy Rating System (HERS) raters. Upon completion, certified auditors will be able to perform a full energy audit of building envelope and all systems including lighting, heating, ventilating and air conditioning (HVAC) equipment, heat recovery, load management, and energy management. Certification will be obtained in either residential energy auditing, commercial energy auditing or both by trainees. Training sessions will be held throughout the state to ensure geographical distribution. The entity conducting the seminars will solicit participants, obtain training locations, provide Continuing Education credits, and official certification documents for each training session. Both residential and commercial energy auditors are needed in the state to assist homeowners, business owners, local governments and schools in making sound decisions on energy conservation measures based on data gathered through audits.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for conducting building energy audits. The subgrantee will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers will be required to demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	Submit training materials and presentations for both residential and commercial energy audit training courses for review and approval	2
2	Solicit participants for residential and commercial training courses through professional associations, boards and other affiliations	10
3	Conduct training workshops and provide all training and testing materials so that at course completion the attendee will have the knowledge and skills to perform energy audits for commercial buildings, residential buildings or both.	10
4	Provide proper certification documents for attendees completing the residential energy auditing course and passing a written test qualifying them to perform residential energy audits.	1
5	Provide proper certification documents for attendees completing the commercial energy auditing course and passing a written test qualifying them to perform commercial energy audits.	1
6	Prepare critical annual reporting metrics for ARRA Annual Reports	3
7	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
8	Prepare quarterly Program Status Reports (PSRs)	12
9	Prepare Final Narrative Report	1
10	Prepare Annual Energy Savings Report	3
11	Identify and secure training locations for both residential and commercial energy audit training throughout the state to reach the largest audience possible	10

DOE F 540.1
(08/05)

**U.S. Department of Energy
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OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy Audit Training Seminars

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	1
Number of jobs retained	0
Total Jobs	1

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Workshops, Training, and Education	
Workshops, training, and education sessions, by sector	
Number of workshops, training, and education sessions held (Commercial)	5
Number of workshops, training, and education sessions held (Residential)	5
Number of people attending (Commercial)	100
Number of people attending (Residential)	100

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$50,000.00
Market Budget Total	\$50,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Energy Retrofits of State Correctional Facilities

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 630,000.00 MBtus

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

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(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
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OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy Retrofits of State Correctional Facilities

The Energy Division will provide funds to reduce energy consumption and energy costs in Alabama correctional facilities through improved energy efficiency and the employment of renewable energy technology applications to save energy costs. In addition, retrofit project activities will provide for both direct and indirect employment opportunities. Also as a result, Alabama Department of Corrections (ADOC) utility budgets will be reduced allowing savings to be utilized to avert employee furloughs or layoffs due to mandated State General Fund budget reductions. The retrofit program will be used to implement eligible efficiency and renewable measures identified through investment-grade audits. Specific retrofit projects will be evaluated based, in part, on their potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. These funds will be leveraged through Performance Contracting currently under development.

Implementation of the Performance Contract will significantly improve the overall impact of this funding. Boilers will be replaced, repaired or converted to biomass; geothermal (ground coupled) heat pumps will replace air source heat pumps or gas furnaces; lighting will be upgraded with controls and more efficient technologies; HVAC equipment will be upgraded with controls, variable frequency drives, steam traps and high efficiency motors; chiller controls will be upgraded; laundry systems will be converted to ozone systems; solar water heating systems will be installed in multiple locations; infrared gas heat will be installed at one facility; and biodiesel production will be installed at multiple locations.

By using the renewable energy biomass systems in a distributed energy situation, renewable energy is produced that displaces both electricity (from coal) and heat from natural gas. Over one megawatt of power will be generated from biomass displacing the coal consumed for the production of electricity. The heat that is produced as a by product of the electricity production will be utilized at each location to displace natural gas purchased for thermal needs. This approach will also produce multiple benefits beyond energy and provide many opportunities to further the application of this technology to improve the distributed energy system in Alabama.

Additionally, inmates will have training opportunities to learn the effective operation of renewable energy systems. Inmates leaving the facility to participate in a work release program will have the experience to help these other facilities adopt these same technologies.

As the second most costly utility to ADOC, water waste will also be addressed. Reducing all utility waste while generating electricity and thermal energy simultaneously will put the ADOC in a much better operating position for many years into the future.

This program will require the Energy Division to enter into an interagency agreement with Alabama Department of Corrections to implement retrofit projects in 30 facilities. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability.

DOE F 540.1
(08/05)

**U.S. Department of Energy
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OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy Retrofits of State Correctional Facilities

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Evaluation of Investment-Grade energy audits	30
2	Evaluation, selection and approval of individual retrofit projects	30
3	Prepare critical annual reporting metrics for ARRA Annual Reports	3
4	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
5	Prepare quarterly Program Status Reports (PSRs)	12
6	Prepare Final Narrative Report	1
7	Prepare Annual Energy Savings Reports	3
8	Training inmates in the operation of renewable energy generator systems (ongoing quarterly activity)	4
9	Replacing fossil fueled emergency generators with renewable energy units	15
10	Promoting renewable energy systems to other state agencies (ongoing quarterly activity)	4

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	228
Number of jobs retained	0
Total Jobs	228

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Building Retrofits	
Buildings retrofitted, by sector	
Buildings retrofitted (Other)	30
Square footage retrofitted (Other)	2,780,876

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$20,965,000.00
Market Budget Total	\$20,965,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Energy Revolving Loan Program

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 410,000.00 MBtus

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Energy Revolving Loan Program

A new Energy Revolving Loan Fund will be developed to stimulate the creation and/or retention of jobs, improve energy efficiency and increase the generation of renewable energy by providing low interest rate loans for the installation of renewable energy systems and the implementation of energy efficiency measures for new and existing industries in Alabama. Allowable expenditures for loan funds will include equipment and equipment installation labor costs for renewable energy systems and energy-efficient fixtures and retrofits installed on property owned by the loan applicant. Eligible renewable energy systems may employ solar, biomass, biofuels, geothermal, micro-hydroelectric, methane capture and use, and/or fuel cell technologies. Eligible energy efficient fixtures and retrofits may include, but will not be limited to, mechanical systems and components including HVAC and hot water, electrical systems and components including lighting and energy management systems, doors and windows, insulation, refrigeration, and combined heat and power. The target audience for the loan program will be new and existing industries located in Alabama. The Revolving Loan Fund will extend the scope of federal recovery funds and ensure that these funds continue to support the state's commitment to energy efficiency and renewable energy well into the future by providing an ongoing source of revenue to implement energy efficiency measures and continue the expansion of renewable energy in the state.

This program will require the Energy Division to enter into a subgrant agreement with an experienced and qualified third party entity to develop and administer the program, provide loans for energy efficiency projects and promote the Energy Revolving Loan Program. This entity, which will serve as the RLF administrator, will be selected through a competitive process consistent with Alabama Law and DOE requirements for ARRA SEP funds. This entity will be paid an administrative charge resulting from each loan project on a percentage basis.

All loan applications will be reviewed by the contracting entity and by the Energy Division. Loan applicant projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Loan applicants will be required to complete a NEPA form for proposed projects. It is anticipated that the interest rate will be initially set at two percent. Loan terms will be for a maximum of 10 years. The maximum amount that can be borrowed will be \$4,000,000 and the minimum amount that can be borrowed will be \$250,000. Loan funds can be used for up to 100 percent of total eligible project costs.

The RLF administrator will obtain adequate and appropriate financial security from borrowers and protect the interests of the revolving loan fund. Appropriate credit underwriting procedures will be developed and utilized to ensure the credit worthiness of loan applicants. All loans will be properly secured and will require an irrevocable letter of credit. The administrator will determine, on a case-by-case basis, whether a lien on the property is appropriate collateral. Other collateral may include security interests in equipment and accounts. All loans will be monitored by the RLF administrator and by the Energy Division.

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(08/05)

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Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy Revolving Loan Program

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Review loan applications	25
2	Perform program marketing and outreach (ongoing quarterly activity)	12
3	Provide loans for qualifying projects	20
4	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
5	Prepare quarterly Program Status Reports (PSRs)	12
6	Prepare Final Narrative Report	1
7	Prepare Annual Energy Savings Reports	3
8	Prepare critical annual reporting metrics for ARRA Annual Reports	3
9	Develop request for proposals for loan fund administrative services	1
10	Evaluate administrative service provider proposals	3
11	Prepare administrative service provider grant package	1
12	Execute grant for administrative services	1
13	Work with loan administrator to determine loan program parameters	1
14	Monitor outstanding loan projects	20

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	272
Number of jobs retained	0
Total Jobs	272

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Loans and Grants	
Loans given	
Number of loans	20
Monetary value of loans	25,000,000

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$25,000,000.00
Market Budget Total	\$25,000,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
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OMB: Control No. 1910-5126
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(Grant Number: EE00224)

Market Title: Energy Revolving Loan Program

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STATE ENERGY PROGRAM (SEP)
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OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy-Efficient Retrofits of Schools

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 152.064.00 MBtus

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

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(08/05)

U.S. Department of Energy
STATE ENERGY PROGRAM (SEP)
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OMB: Control No. 1910-5126
Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy-Efficient Retrofits of Schools

The Energy Division has funded the Energy-Efficient Retrofits of Schools Program since 2006. The program has shown great success through the reduction of energy expenditures in K-12 schools located in favored geographic areas of Alabama. The SEP-ARRA expansion of this program will make retrofit funds available to school districts statewide and eligibility will be based on economic needs criteria established by the Division. In addition to energy-related benefits, the program assists Alabama's schools provide a better education by creating an improved learning environment for the students. The program will assist in the purchase and installation of energy-efficient equipment and materials for an estimated 30 school districts with a minimum of 60 percent of students eligible for free or reduced lunches. Potential energy saving projects for school buildings may include, but are not limited to: retrofits to lighting, HVAC, insulation, building envelope sealing and improvements, and exterior door and window replacement. The measures will increase energy efficiency, assist in the creation and retention of jobs through the reduction of energy expenditures, reduce greenhouse gas emissions, and increase the use of renewable energy in Alabama by installing geothermal heat pumps and photovoltaic systems.

Program participants will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. The applicant projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, and cost savings.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	Retrofit eligible school districts	30
2	Prepare critical annual reporting metrics for ARRA Annual Reports	90
3	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	360
4	Prepare quarterly Program Status Reports (PSRs)	360
5	Prepare Final Narrative Report	30
6	Prepare Annual Energy Savings Report	90
7	Replace HVAC units with energy-efficient units	200
8	Install geothermal heat pump units in eligible schools	2
9	Install photovoltaic systems in eligible schools	2

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	54
Number of jobs retained	0
Total Jobs	54

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Government, School, Institutional Procurement	
Units purchased, by type	
Units purchased (HVAC equipment)	200

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Expiration Date: 06/30/08

(Grant Number: EE00224)

Market Title: Energy-Efficient Retrofits of Schools

10. User specified metrics (optional)*

METRICS	Planned
Renewable Energy Market Development	
Renewable energy systems installed, by energy type	
Number of systems installed (Solar energy)	2
Size of systems installed (Solar energy)	10

11. Program Year Funds by Source*

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: High Performance Building Training Seminars

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 49,195.00 MBtus

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: High Performance Building Training Seminars

High Performance Building seminars will provide training for architects, engineers, contractors and owners in properly designing, constructing, commissioning and operating a high-performance building. The long-term goal of this training is to make changes in the way buildings are sited, oriented, designed, built, operated, maintained and renovated to reduce the lifetime costs of state-funded and private commercial buildings while improving their environmental performance and increasing the productivity of the people in them. Several training sessions will be held throughout the state to ensure geographical distribution. The entity conducting the seminars will solicit students, obtain training locations, provide Continuing Education credits, and official certification documents for each training session. Although the training does not require adhering to a specific program such as LEED, or Green Globe, the following topics will be covered in the program:

- ASHRAE 90.1-2007: the definition of a High Performance Building.
- High Performance for existing buildings.
- Designing for a commissionable High Performance Building.
- Evaluating the performance of the High Performance Building while in warranty period.
- Budgeting for maintenance of a High Performance Building.
- Training for maintenance of a High Performance Building.
- Evaluating the long term performance of the building.
- Assigning responsibilities for building performance.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for the design, construction, commissioning and operation of high performance buildings. Program participants will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers will be required to demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: High Performance Building Training Seminars

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	Develop training seminar and presentation to reach design professionals, contractors and facilities managers with information on the specifics and advantages of designing, constructing and operating a high-performance building.	1
2	Develop a presentation for commercial building owners and state agency representatives presenting the benefits and savings achieved with a designed and constructed high-performance building	1
3	Identify and secure training locations throughout the state to reach the largest possible audience.	10
4	Solicit participants for seminars through various professional associations, boards and other affiliations.	10
5	Conduct seminars for targeted groups throughout state and provide any certifications necessary for continuing education credits	10
6	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
7	Prepare quarterly Program Status Reports (PSRs)	12
8	Prepare Final Narrative Report	1
9	Prepare Annual Energy Savings Report	3
10	Prepare critical annual reporting metrics for ARRA Annual Reports	3

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	2
Number of jobs retained	0
Total Jobs	2

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Workshops, Training, and Education	
Workshops, training, and education sessions, by sector	
Number of workshops, training, and education sessions held (Commercial)	10
Number of people attending (Commercial)	200

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Home Energy Rating System (HERS) Training Seminars

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 12,299.00 MBtus

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Home Energy Rating System (HERS) Training Seminars

With rising energy costs and the increased demand for homes that are more energy-efficient, the need for certified HERS raters will only increase. The Energy Division has previously offered HERS training for interested participants with great success. Additional seminars will enable those who were unable to attend the previous course the opportunity to participate in the training and become certified raters. HERS seminars will provide a minimum of two training courses for certification in RESNET's HERS program. The training courses will be held at the training provider's location, or other locations within the state of Alabama. Reimbursement will be provided for participants who pass the course and become fully certified before the end of the 3-year contract period.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for the Home Energy Rating System. Subgrantees will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers must be a certified RESNET HERS Training Provider or contract with a certified RESNET HERS Training Provider, and also demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	Conduct at least two HERS training courses with a minimum of 30 total participants	2
2	Solicit participants for training courses through professional associations related to home builders and trades.	2
3	Conduct HERS training seminars and provide certification test	2
4	Provide proper certification documents for qualifying students	2
5	Provide reimbursement of training fees for qualifying students	2
6	Prepare critical annual reporting metrics for ARRA Annual Reports	3
7	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
8	Prepare quarterly Program Status Reports (PSRs)	12
9	Prepare Final Narrative Report	1
10	Prepare Annual Energy Savings Report	3

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	1
Number of jobs retained	0
Total Jobs	1

9. Specific metric activity (required)**

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Home Energy Rating System (HERS) Training Seminars

SPECIFIC METRICS	Planned
Workshops, Training, and Education	
Workshops, training, and education sessions, by sector	
Number of workshops, training, and education sessions held (Residential)	2
Number of people attending (Residential)	50

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$50,000.00
Market Budget Total	\$50,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Program Administration

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 0.00 MBtus

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Program Administration

ADECA's Energy Division has the sole responsibility of administering the American Recovery and Reinvestment Act (ARRA) funded State Energy Program (SEP) for the State of Alabama. The Energy Division will be issuing funding solicitations and awarding contracts, subgrants agreements to provide funding, technical support, monitoring, verification, and evaluation for SEP ARRA funded projects. The Energy Division has to ensure that the SEP programs are developed, implemented, and monitored to be consistent with the ARRA and SEP rules and regulations and the State of Alabama statutes. The Energy Division will ensure that proper reporting of program accomplishments and fiscal information is provided to the U.S. Department of Energy (DOE). The Energy Division provides programmatic support for staff to implement market activities and programs with staff salaries, fringe benefits, travel costs, office equipment, materials and supplies, and program contractual costs to meet the goals and objectives of SEP. Measurable savings will be attributed to individual topics involved in the overall program markets, all programs will be evaluated for effectiveness. To implement the programs with the SEP ARRA funding, the Energy Division has identified additional resource needs in terms of additional staff and travel expenses which are necessary to meet the requirements of the SEP ARRA funding.

7. Program Year Milestones* :

	Milestone	Planned (Number)
1	Hire additional Energy Division staff	3
2	Establish guidelines/parameters for programs	8
3	Develop and issue funding solicitation	1
4	Develop and execute funding agreements	37
5	Conduct subgrantee training session	1
6	Monitor subgrantee projects	100
7	Prepare and submit quarterly report notices to subgrantees	444
8	Distribute information on energy efficiency, renewable energy, and GHG reduction	2,000
9	Prepare closeout notices for subgrantees	37
10	Prepare and submit quarterly ARRA Performance Progress Reports to DOE	12
11	Prepare and submit ARRA Annual Reports to DOE with critical metrics	3

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	15
Number of jobs retained	0
Total Jobs	15

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Technical Assistance	
Information contacts (e.g., webinars, site visits, media, fact sheet) in which energy efficiency or renewable energy measures	
Number of contacts (All sectors)	50

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Program Administration

10. User specified metrics (optional)*

METRICS	Planned

11. Program Year Funds by Source*

a. SEP Grant (all funds in the approved budget)	
DOE	\$3,505,000.00
Market Budget Total	\$3,505,000.00
b. Leveraged funds anticipated (outside approved budget)	

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Training Seminars on Building Energy Codes

1. Market (choose one):

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

2. State: AL

3. Program Year: 2009

Date Start: 04/21/2009 Date End: 04/30/2012

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

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

5. Estimated Annual Energy Savings : 172,182.00 MBtus

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

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Training Seminars on Building Energy Codes

Building Energy Code seminars will provide training for code officials, engineers, architects, building inspectors, residential and commercial builders, and subcontractors on the 2009 version of the International Energy Conservation Code (IECC) for residential construction and ANSI/ASHRAE/IESNA Standard 90.1-2007 for commercial construction. A more concise presentation will also be developed to provide advocacy for the adoption and enforcement of energy codes to local government policy makers and planners. The benefits of adopting and building to these energy code standards will be stressed in all presentations and reservations regarding adoption and enforcement will be addressed. Training sessions will be held throughout the state to ensure geographical distribution. The entity conducting the seminars will solicit participants, obtain training locations, provide Continuing Education credits, and provide official certification documents for each training session. The Energy Division will also utilize the training and advocacy services offered by the Building Codes Assistance Project (BCAP) to encourage code adoption. BCAP provides states with custom-tailored assistance on building energy code adoption and implementation, code advocacy and technical assistance on behalf of the U.S. Department of Energy. This proposed Program will support the Governor's effort to adopt more stringent energy codes and will provide various implementation and support services to the entire building community, and work aggressively to achieve compliance in the commercial and residential sectors. The Pacific Northwest National Laboratories (PNNL) is also in the process of developing several tools to assist states in measuring compliance for reporting purposes to DOE. The Energy Division will be utilizing these tools or other approved methodologies to ensure 90 percent compliance as required in the Recovery Act.

This program will require the Energy Division to enter into a subgrant agreement with a third party entity to provide training for building energy codes. The subgrantee will be selected through a competitive process consistent with Department of Energy requirements for ARRA SEP funds. Projects will be evaluated based, in part, on potential for job creation/retention, energy savings, renewable energy generation capacity, emissions reductions, cost savings, and sustainability. Proposers will be required to demonstrate their qualifications to provide the specified training and list related training performed within the past 12 months

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Training Seminars on Building Energy Codes

7. Program Year Milestones* :

Milestone		Planned (Number)
1	Develop a residential training presentation for home builders and inspectors discussing the changes in the 2009 IECC and compliance requirements, and the beneficial impact adhering to this code will have on the state.	1
2	Develop a commercial training presentation for building professionals discussing the changes in ASHRAE Standard 90.1-2007 and compliance requirements, and the beneficial impact adhering to this code will have on the state.	1
3	Develop a presentation for Local Government Policy Makers and Planners emphasizing the many benefits of adopting and enforcing the 2009 IECC for residential buildings and ASHRAE Standard 90.1-2007 for commercial buildings, and the importance of working to	1
4	Identify and secure 10 training locations throughout the state and solicit attendees from the targeted groups for 10 residential and 10 commercial training presentations. The larger metropolitan areas with existing codes and enforcement will be targeted	20
5	Provide developed and approved residential and commercial training presentations to 10 groups of residential building professionals and 10 groups of commercial building professionals, also providing information on any programs designed or updated to assist	20
6	Prepare critical annual reporting metrics for ARRA Annual Reports	3
7	Prepare program specific metrics for quarterly ARRA Performance Progress Reports	12
8	Prepare quarterly Program Status Reports (PSRs)	12
9	Prepare Final Narrative Report	1
10	Prepare Annual Energy Savings Report	3

8. Standard metrics (required)**

JOB METRICS	Planned
Number of jobs created	2
Number of jobs retained	0
Total Jobs	2

9. Specific metric activity (required)**

SPECIFIC METRICS	Planned
Workshops, Training, and Education	
Workshops, training, and education sessions, by sector	
Number of workshops, training, and education sessions held (Commercial)	10
Number of workshops, training, and education sessions held (Residential)	10
Number of people attending (Commercial)	500
Number of people attending (Residential)	200

10. User specified metrics (optional)*

METRICS	Planned

DOE F 540.1
(08/05)

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

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

(Grant Number: EE00224)

Market Title: Training Seminars on Building Energy Codes

11. Program Year Funds by Source*

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

*Please use additional pages if more space is needed.

**Mandatory requirement

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

RESOLUTION OF CONFLICTING CONDITIONS

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

AWARD AGREEMENT TERMS AND CONDITIONS

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

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

Attachment No.	Title
1	Intellectual Property Provisions
2	Federal Assistance Reporting Checklist
3	Budget Page(s)
4	SEP Narrative Information Worksheets
- c. Applicable program regulations (*specify*) _____ (*Date*) _____
- d. DOE Assistance Regulations, 10 CFR Part 600at <http://ecfr.gpoaccess.gov>
- e. Application/proposal as approved by DOE.
- f. National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at http://management.energy.gov/business_doe/1374.htm.

NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENT

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

Prohibited project activities include:

- 1. Energy Efficient Retrofits of Schools; additional information needed regarding projects involving biomass, production and heating systems, boiler replacement, and combined heat power systems.
- 2. Energy Revolving Loan Program; additional information needed regarding renewable energy system projects and retrofits and combined heat and power systems.
- 3. Energy Retrofits of State Correctional Facilities; additional information needed regarding biomass boiler projects and bio-diesel production projects.

The project activities listed above will require an individual NEPA review and determination. You must submit an environmental questionnaire to the DOE Project Officer for each project activity identified above to allow DOE to conduct an individual NEPA review and determination. You must provide additional information for activities 1 through 3.

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

If DOE determines that NEPA requires the preparation of an environmental assessment (EA) or environmental impact statement (EIS) for a project you propose, you will be responsible for paying the cost of preparing an EA or EIS. Preparation of these types of NEPA documents can require 6-24 months. Accordingly you should carefully consider whether such projects are consistent with the objectives of the ARRA and will allow the expenditure of funds within the time periods allowed for by that statute.

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

Nor does this restriction preclude you from the project activities listed below:

4. Automotive Industrial Efficiency Program
5. Energy Audit Training Seminars
6. High Performance Building Training Seminars
7. Home Energy Rating System (HERS) Training Seminars
8. Program Administration
9. Training Seminars on Building Energy Codes

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

a. Method of Payment. Payment will be made by advances through the Department of Treasury's ASAP system.

b. Requesting Advances. Requests for advances must be made through the ASAP system. You may submit requests as frequently as required to meet your needs to disburse funds for the Federal share of project costs. If feasible, you should time each request so that you receive payment on the same day that you disburse funds for direct project costs and the proportionate share of any allowable indirect costs. If same-day transfers are not feasible, advance payments must be as close as is administratively

feasible to actual disbursements.

c. Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.

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

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

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

STAGED DISBURSEMENT – RECOVERY ACT FUNDS

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

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

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

REBUDGETING AND RECOVERY OF INDIRECT COSTS - REIMBURSABLE

INDIRECT COSTS AND FRINGE BENEFITS

- a. If actual allowable indirect costs are less than those budgeted and funded under the award, you may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, you must refund the difference.
- b. Recipients are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates. DOE recognizes that the inability to obtain full reimbursement for indirect costs means the recipient must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

USE OF PROGRAM INCOME - ADDITION

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

STATEMENT OF FEDERAL STEWARDSHIP

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

SITE VISITS

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

REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this award are identified on the

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

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

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

PUBLICATIONS

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

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

Acknowledgment: "This material is based upon work supported by the Department of Energy under Award Number(s) *DE-EE0000224*."

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

FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

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

INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

- a. The intellectual property provisions applicable to this award are provided as an attachment to this award. A list of all intellectual property provisions may be found at http://www.gc.doe.gov/financial_assistance_awards.htm.
- b. Questions regarding intellectual property matters should be referred to the DOE Award Administrator and the Patent Counsel designated as the service provider for the DOE office that issued the award. The IP Service Providers List is found at [http://www.gc.doe.gov/documents/Intellectual_Property_\(IP\)_Service_Providers_for_Acquisition.pdf](http://www.gc.doe.gov/documents/Intellectual_Property_(IP)_Service_Providers_for_Acquisition.pdf).

LOBBYING RESTRICTIONS

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

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

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

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

- a. Unless in conflict with State or local laws, you must ensure that bid specifications, project agreement, or other controlling documents in construction contracts awarded pursuant to this agreement, or pursuant to a subaward to this agreement, do not:
 1. Require or prohibit bidders, offerors, contractors, or subcontractors to enter into or adhere to agreements with one or more labor organizations, on the same or other related construction project(s); or
 2. Otherwise discriminate against bidders, offerors, contractors, or subcontractors

for becoming or refusing to become or remain signatories or otherwise to adhere to agreements with one or more labor organizations, on the same or other related construction project(s).

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

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

DECONTAMINATION AND/OR DECOMMISSIONING (D &D) COSTS

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

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

Preamble

The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act) was enacted to preserve and create jobs and promote economic recovery, assist those most impacted by the recession, provide investments needed to increase economic efficiency by spurring technological advances in science and health, invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits, stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. Recipients shall use grant funds in a manner that maximizes job creation and economic benefit.

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

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

Be advised that Recovery Act funds can be used in conjunction with other funding as

necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related guidance. For projects funded by sources other than the Recovery Act, Contractors must keep separate records for Recovery Act funds and to ensure those records comply with the requirements of the Act.

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

Definitions

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

Non-Federal employer means any employer with respect to covered funds – the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor, subcontractor, grantee, or recipient is an employer; and any professional membership organization, certification of other professional body, any agent or licensee of the Federal government, or any person acting directly or indirectly in the interest of an employer receiving covered funds; or with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor receiving the funds and any contractor or subcontractor of the State or local government; and does not mean any department, agency, or other entity of the federal government.

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

Special Provisions

A. Flow Down Requirement

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

B. Segregation of Costs

Recipients must segregate the obligations and expenditures related to funding under the Recovery Act. Financial and accounting systems should be revised as necessary to segregate, track and maintain these funds apart and separate from other revenue streams.

No part of the funds from the Recovery Act shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for Recovery Act projects.

C. Prohibition on Use of Funds

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

D. Access to Records

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

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

E. Publication

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

Notice of Restriction on Disclosure and Use of Data

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

Information about this agreement will be published on the Internet and linked to the website www.recovery.gov, maintained by the Accountability and Transparency Board.

The Board may exclude posting contractual or other information on the website on a case-by-case basis when necessary to protect national security or to protect information that is not subject to disclosure under sections 552 and 552a of title 5, United States Code.

F. Protecting State and Local Government and Contractor Whistleblowers.

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

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

- gross management of an agency contract or grant relating to covered funds;
- a gross waste of covered funds
- a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- an abuse of authority related to the implementation or use of covered funds; or
- as violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

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

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

Nonenforceability of Certain Provisions Waiving Rights and remedies or Requiring

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

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

G. Request for Reimbursement

RESERVED

H. False Claims Act

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

I. Information in supporting of Recovery Act Reporting

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

J. Availability of Funds

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

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

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

Acceptance by State Legislature -- If funds provided to any State in any division of the Act are not accepted for use by the Governor, then acceptance by the State legislature, by

means of the adoption of a concurrent resolution, shall be sufficient to provide funding to such State.

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

L. Certifications

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

REPORTING AND REGISTRATION REQUIREMENTS UNDER SECTION 1512 OF THE RECOVERY

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

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

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

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

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

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

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

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

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

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

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

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

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

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

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

- (1) Processed into a specific form and shape; or
- (2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

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

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

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

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

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

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

(3) The requirement in paragraph (b)(2) of this section does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows:

None

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

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

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

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

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

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

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

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

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

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

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

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

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

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

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

Foreign and Domestic Items Cost Comparison

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

[List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.]

[Include other applicable supporting information.]

*[*Include all delivery costs to the construction site.]*

WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE RECOVERY ACT

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

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

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

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

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215.21 “Uniform Administrative Requirements for Grants and Agreements” and OMB Circular A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds. OMB Circular A-102 is available at <http://www.whitehouse.gov/omb/circulars/a102/a102.html>.

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

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

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

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

Accordingly, the grant is amended as follows:

1. As reflected in Block 13 of the assistance agreement cover page, this amendment obligates Federal funds in the amount of \$22,228,000.00, increasing the total DOE obligations from \$5,557,000 to \$27,785,000.
2. The “Special Terms and Conditions for Use in Most Grants and Cooperative Agreements” are hereby deleted in their entirety and replaced with the revised Special Terms and Conditions for Use in Most Grants & Cooperative Agreements attached hereto. The revisions are summarized as follows:
 - “Authorized Activities” provision is hereby deleted in its entirety;
 - “NEPA” provision is hereby revised to identify prohibited activities;
 - “Recovery Act Special Provisions” is hereby deleted in its entirety;
 - The following provisions are hereby incorporated into the grant award:
 - Special Provisions Relating to Work Funded Under American Recovery and Reinvestment Act of 2009
 - Reporting and Registration Requirements Under Section 1512 Of The Recovery Act
 - Required Use Of American Iron, Steel, And Manufactured Goods (Covered Under International Agreements)—Section 1605 Of The American Recovery And Reinvestment Act Of 2009
 - Wage Rate Requirements Under Section 1606 Of The Recovery Act
 - Recovery Act Transactions Listed in Schedule of Expenditures Of Federal Awards And Recipient Responsibilities For Informing Subrecipients
3. Attachment 2, Federal Assistance Reporting Checklist is hereby deleted in its entirety and replaced with the attached Federal Assistance Reporting Checklist. The attached checklist has been revised to incorporate Section F, American Recovery and Reinvestment Act Reporting.
4. Attachment 3, Budget Page(s) is hereby revised to incorporate the attached Budget Page(s) for the grant award.
5. Attachment 4, SEP Narrative Worksheets, is hereby revised to incorporate the attached SEP Narrative Information Worksheets for the grant award.
6. Except as provided herein, all other terms and conditions remain the same and in full force and effect.

End of Amendment 001

The purpose of this amendment is to fully fund the award, revise the Special Terms and Conditions, and change the DOE Award Administrator. Accordingly, the grant is amended as follows:

1. As reflected in Block 13 of the Award Cover Page funds in the amount of \$27,785,000.00 are hereby obligated increasing the total DOE obligations from \$27,785,000.00 to \$55,570,000.00. This obligation fully funds the subject award.
2. The “Special Terms and Conditions” are revised as follows:
 - “Incremental Funding and Maximum Obligation – Coextensive Budget Period and Project Period” provision is hereby deleted in its entirety;
 - “Staged Disbursement” provision is hereby deleted in its entirety; and
 - The following provisions are hereby incorporated into the grant award:

“HISTORIC PRESERVATION

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

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

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

ADVANCED UNDERSTANDING CONCERNING PUBLICLY FINANCED ENERGY IMPROVEMENT PROGRAMS

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

3. The DOE Award Administrator is hereby changed from Jacquelyn M. Wilson, to Jamie Parker, (304) 285-5249, james.parker@netl.doe.gov.
4. Except as provided herein, all other terms and conditions remain the same and in full force and effect.

End of Amendment 002