

# ALASKA STATE LEGISLATURE

## LEGISLATIVE BUDGET AND AUDIT COMMITTEE Division of Legislative Finance



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### MEMORANDUM

DATE: September 18, 2009

TO: Legislative Budget and Audit Committee

FROM: David Teal  
Director

SUBJECT: Preparation for the September 28, 2009 LB&A Meeting

OMB submitted the following six RPLs for consideration at the September 28, 2009, Legislative Budget and Audit Committee meeting. Four RPLs are for American Recovery and Reinvestment Act of 2009 (ARRA) funding. The RPLs, along with Legislative Finance comments, are posted on our web site at <http://www.legfin.state.ak.us/> so that committee members can print and review them.

RPL#	Agency	Appropriation/Allocation/Program	Amount	Fund Source
04-00-1021 <i>Capital</i>	Revenue	AHFC State Energy Efficient Appliance Rebate Program	\$658,000	ARRA Funds - CIP
04-00-1022 <i>Capital</i>	Revenue	AHFC Energy Assurance/Smart Grid Resiliency Program (EA/SGR)	\$262,969	ARRA Funds – CIP
05-00-1024 <i>Capital</i>	Education & Early Development	U.S. Department of Education Impact Aid for Construction Discretionary Grant Program	\$703,654	Federal Funds - CIP
06-00-0133	Health & Social Services	H1N1 Disaster Preparedness	\$7,550,000	Federal Funds – Operating
08-00-0067 <i>Capital</i> (recommend change to operating)	Commerce, Community & Economic Development (through the Office of the Governor)	Regulatory Commission of Alaska	\$767,493 (recommend reduction)	ARRA Funds – CIP
45-00-1134 <i>Capital</i>	University	Authority Needed for ARRA Grants Funding – Multiple Grants	\$2,849,782 (subject to amendment)	ARRA Funds - CIP

cc: Senator Meyer  
Representative Dahlstrom  
Representative Hawker  
Representative Neuman  
Representative Thomas  
Representative Doogan  
Representative Stoltze  
Representative Tuck

Senator Hoffman  
Senator Huggins  
Senator Menard  
Senator Stedman  
Senator Olson  
Josh Applebee  
Tim Grussendorf  
Miles Baker

Linda Hay  
Paulyn Swanson  
James Armstrong  
Pat Davidson  
John Bitney

**Department of Revenue  
Alaska Housing Finance Corporation**

<b>Subject of RPL:</b> AHFC State Energy Efficient Appliance Rebate Program	<b>ADN/RPL #:</b> 04-00-1021
<b>Amount Requested:</b> \$658,000	<b>Appropriation Authority:</b> Ch. 15, SLA09, Sec. 1, Page 19, Lines 31-33
<b>Funding Source:</b> Federal Stimulus: ARRA 2009 - Capital	<b>Statutory Authority:</b> AS 18.56

**PURPOSE**

The Alaska Housing Finance Corporation (AHFC) requests authority to receive and expend an additional \$658,000 of Federal Receipts from the American Recovery & Reinvestment Act of 2009 for AHFC's proposed new State Energy Efficient Appliance Rebate Program. Funding for this program has been approved by the U.S. Department of Energy (USDOE) and will be available for distribution following approval of AHFC's final plan due October 15<sup>th</sup>.

The American Recovery & Reinvestment Act provides funds to implement Section 124 of the Energy Policy Act of 2005, establishing USDOE support for states rebate programs for residential ENERGY STAR appliance products (those that represent improvements in efficiency compared to the majority of products in the market). AHFC will receive formula-based funding to establish an ENERGY STAR appliance rebate program.

The Appliance Rebate Program objectives are:

- Save energy by encouraging appliance replacement through consumer rebates;
- Make rebates available to consumers;
- Enhance existing rebate programs by leveraging ENERGY STAR national partner relationships and local program infrastructure;
- Keep administrative cost low while adhering to monitoring and evaluation requirements;
- Promote state and national tracking and accountability; and
- Use existing ENERGY STAR consumer education and outreach materials.

This program will make rebates for energy efficient appliances. An appliance is generally understood as a product that consumes energy. The final plan and application is due October 15, though an initial reservation award has been made by the USDOE.

Agency Contact: Les Campbell, (907) 330-8356  
Legislative Finance Contact: Rob Carpenter, (907) 465-5413

Although details are not available at this time, USDOE recommends states select from among the following residential ENERGY STAR qualified appliance categories:

- Boilers;
- Central air conditioners;
- Clothes washers;
- Dishwashers;
- Freezers;
- Furnaces (oil and gas);
- Heat pumps (air source and geothermal);
- Refrigerators;
- Room air conditioners; and
- Water heater.

#### **PREVIOUS LEGISLATIVE CONSIDERATION**

- This is the first RPL request for this program.
- This is a new program to AHFC.
- The Legislature has not had any previous consideration of this program.

#### **TIMING ISSUES**

- The final plan and application is due October 15.
- The funds will be available upon approval of this RPL by LBA and expended within three years.
- AHFC anticipates awarding these funds in December 2009.

#### **BUDGETARY ISSUES**

- Up to 10% of the allowable grants funds may be used for administrative purposes.
- These funds are Federal ARRA from USDOE. No General Funds will be used.

Attached are supporting documents:

- USDOE Funding Notice
- Funding Allocation by State

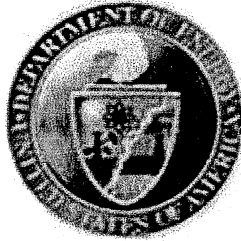
FY 2009 EE Rebates Stimulus State Calculations

State/Territory	State Population	Population % Adjusted	\$ EE Rebates (Not Rounded)	\$ EE Rebates (Rounded)
Alabama	4,661,900	1.51%	4,472,947	4,473,000
Alaska	686,293	0.22%	658,477	658,000
Arizona	6,500,180	2.11%	6,236,718	6,237,000
Arkansas	2,855,390	0.93%	2,739,657	2,740,000
California	36,756,666	11.92%	35,266,866	35,267,000
Colorado	4,939,456	1.60%	4,739,253	4,739,000
Connecticut	3,501,252	1.14%	3,359,341	3,359,000
Delaware	873,092	0.28%	837,704	838,000
District of Columbia	591,833	0.19%	567,845	568,000
Florida	18,328,340	5.95%	17,585,466	17,585,000
Georgia	9,685,744	3.14%	9,293,167	9,293,000
Hawaii	1,288,198	0.42%	1,235,985	1,236,000
Idaho	1,523,816	0.49%	1,462,054	1,462,000
Illinois	12,901,563	4.18%	12,378,644	12,379,000
Indiana	6,376,792	2.07%	6,118,331	6,118,000
Iowa	3,002,555	0.97%	2,880,857	2,881,000
Kansas	2,802,134	0.91%	2,688,559	2,689,000
Kentucky	4,269,245	1.38%	4,096,206	4,096,000
Louisiana	4,410,796	1.43%	4,232,020	4,232,000
Maine	1,316,456	0.43%	1,263,098	1,263,000
Maryland	5,633,597	1.83%	5,405,259	5,405,000
Massachusetts	6,497,967	2.11%	6,234,595	6,235,000
Michigan	10,003,422	3.24%	9,597,969	9,598,000
Minnesota	5,220,393	1.69%	5,008,803	5,009,000
Mississippi	2,938,618	0.95%	2,819,512	2,820,000
Missouri	5,911,605	1.92%	5,671,999	5,672,000
Montana	967,440	0.31%	928,228	928,000
Nebraska	1,783,432	0.58%	1,711,147	1,711,000
Nevada	2,600,167	0.84%	2,494,779	2,495,000
New Hampshire	1,315,809	0.43%	1,262,477	1,262,000
New Jersey	8,682,661	2.82%	8,330,740	8,331,000
New Mexico	1,984,356	0.64%	1,903,927	1,904,000
New York	19,490,297	6.32%	18,700,327	18,700,000
North Carolina	9,222,414	2.99%	8,848,616	8,849,000
North Dakota	641,481	0.21%	615,481	615,000
Ohio	11,485,910	3.73%	11,020,370	11,020,000
Oklahoma	3,642,361	1.18%	3,494,731	3,495,000
Oregon	3,790,060	1.23%	3,636,443	3,636,000
Pennsylvania	12,448,279	4.04%	11,943,732	11,944,000
Rhode Island	1,050,788	0.34%	1,008,198	1,008,000
South Carolina	4,479,800	1.45%	4,298,227	4,298,000
South Dakota	804,194	0.26%	771,599	772,000
Tennessee	6,214,888	2.02%	5,962,990	5,963,000
Texas	24,326,974	7.89%	23,340,967	23,341,000
Utah	2,736,424	0.89%	2,625,513	2,626,000
Vermont	621,270	0.20%	596,089	596,000
Virginia	7,769,089	2.52%	7,454,197	7,454,000
Washington	6,549,224	2.12%	6,283,775	6,284,000
West Virginia	1,814,468	0.59%	1,740,925	1,741,000
Wisconsin	5,627,967	1.83%	5,399,857	5,400,000
Wyoming	532,668	0.17%	511,078	511,000
American Samoa	57,291		100,000	100,000
Guam	173,456	0.06%	166,426	166,000
Northern Marianas	84,856		100,000	100,000
Puerto Rico	3,954,037	1.28%	3,793,774	3,794,000
Virgin Islands	108,448	0.04%	104,052	104,000
Total	308,437,812	100.00%	296,000,000	296,000,000

Note: American Samoa and Northern Marianas have been allocated the minimum amount of \$100,000 each. If allocated purely on population percentages they would have been allocated less than the minimum. Population percentages for the remaining States/Territories were calculated using the US population less American Samoa and Northern Marianas. These percentages were then used to calculate each State/Territories allocation of the remaining funds.



**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U. S. Department of Energy**

**Idaho Operations Office**

**State Energy Efficient Appliance Rebate Program (SEEARP)**

**American Recovery and Reinvestment Act (ARRA)**

**Funding Opportunity Number: DE-FOA-0000119**

**Announcement Type: Initial**

**CFDA Number: 81.127, Energy Efficient Appliance Rebate Program (EEARP)**

**Issue Date: 07/14/2009**

**Initial Application Due Date: 08/15/2009 at 8:00:00 PM Eastern Time**

**Comprehensive Application Due Date: 10/15/2009 at 8:00:00 PM Eastern Time**

## **NOTE: REGISTRATION REQUIREMENTS**

### **Registration Requirements**

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

**Applicants must obtain a DUNS number. DUNS website:** [http://www.dnb.com/US/duns\\_update/](http://www.dnb.com/US/duns_update/)

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

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

### **Questions**

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

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

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

### **Comprehensive Application Preparation and Submission**

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

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

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## **PART I – FUNDING OPPORTUNITY DESCRIPTION**

### **Purpose**

State Energy Efficient Appliance Rebate Program: The purpose of this Funding Opportunity Announcement (FOA) is to award formula grants to U.S. states, territories, and the District of Columbia (hereinafter referred to as States) to provide American Recovery and Reinvestment Act funding for the establishment and administration of State Appliance Rebate Programs.

This FOA is issued by the U.S. Department of Energy (DOE), Office of Energy Efficiency and Renewable Energy (EERE), with administrative assistance by the DOE Idaho Operations Office.

### **Background**

Projects under this FOA will be funded, in whole or in part, with funds appropriated by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (ARRA or Recovery Act or Act). The Recovery Act's objectives are:

- Spur economic growth and create jobs
- Save energy and reduce greenhouse gas emissions
- Ensure transparency and accountability of Recovery Act funds

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

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

These special terms and conditions will be based on provisions included in Titles XV and XVI of the Act. The exact terms and conditions will be provided as soon as available.

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

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

Be advised that Recovery Act funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related OMB Guidance. Applicants for projects funded by sources other than the Recovery Act should plan to keep separate records for Recovery Act funds and ensure those records

comply with the requirements of the Act. Funding provided through the Recovery Act that is supplemental to an existing grant is one-time funding.

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

ARRA was enacted to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and to stabilize state and local government budgets in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

## **Description**

The Recovery Act provides \$296M to implement Section 124 of the Energy Policy Act of 2005 (EPAct 2005) establishing DOE support for States rebate programs for residential ENERGY STAR appliance products (those that represent improvements in efficiency compared to the majority of products in the market). States will receive formula-based funding to establish or supplement established ENERGY STAR appliance rebate programs. Federal funds, awarded from this FOA, may be used to pay up to 50% of the administrative costs to carry out the rebate program.

The Appliance Rebate Program Objectives are:

- Save energy by encouraging appliance replacement through consumer rebates
- Make rebates available to consumers
- Enhance existing rebate programs by leveraging ENERGY STAR national partner relationships and local program infrastructure
- Keep administrative costs low while adhering to monitoring and evaluation requirements
- Promote state and national tracking and accountability
- Use existing ENERGY STAR consumer education and outreach materials

## **Key Implementation Elements**

**Funding Schedule:** The U.S. Department of Energy (DOE), through the Idaho Operations Office, will make funds available to States to implement the State Energy Efficient Appliance Rebate Program. Immediately, and not later than thirty days following the issuance of the Funding Opportunity Announcement, States shall submit their initial application, which will indicate their intent to participate in the program. This initial application, once received, will initiate the award for 10% of the State's allotment, based on 100% participation. Once the thirty-day period for declaration of intent to participate has closed, States are requested to immediately and not later than have sixty days, submit completed plans for DOE review. Upon approval of a full application, States will receive the remaining 90% of their allotment.

Funds are based on the statutory formula of each State's population compared to the U.S. population. States will each use their allocation to pay for the full cost of all product rebates and up to 50% of the administrative costs to carry out the rebate program.

Awards will be approved on a rolling basis upon submittal of States' proposed rebate plans, for which the final deadline is October 15, 2009. The proposed target date for program start is Fall, 2009. States may begin any time after the official start date. Funds must be expended by February 2012 (three years following enactment of the Recovery Act).

**Program Plans:** States may apply for rebate funds by submitting for review a program plan that they believe meets their needs in terms of economic benefits, energy savings, and consideration for existing

rebate programs within the States. Priorities for implementing a program should be speed of implementation, low administrative costs, economic stimulus, maximum consumer financial benefit, and fraud prevention. State Energy Offices shall design their programs taking into consideration:

1. Its allocation amount
2. The amount of any other applicable federal or state tax or rebate incentives available for the purchase of similar appliances
3. The incremental cost for the average ENERGY STAR appliance compared to the same appliance that is not ENERGY STAR qualified
4. Current ENERGY STAR market share
5. Regional and state-specific issues.

DOE will make resources available to each States Energy Office so that energy officers can design a rebate program, submit a thorough application, and minimize administrative costs. The program plan submitted by the States must address each of the points listed below:

Budget: The rebate program plan must include a budget that outlines disbursement of consumer rebates (by product type) and administrative costs. Examples of administrative costs include those for designing programs, disbursing funds, conducting outreach, and monitoring. Direct recycling costs shall not be included as part of administrative costs, but costs to administer recycling may be included. Each program design application should clearly delineate the activities it proposes to fund, keeping in mind the overall goal of the program to provide rebates to consumers. States are advised to minimize administrative costs and maximize rebates to consumers, while ensuring the transparency and accountability of Recovery Act funds. States are further advised to keep administrative costs within ten to twenty-five percent of total program costs; any deviation from this target should be fully explained in the program plan.

Covered Products: States shall specify which of the qualified ENERGY STAR appliance categories will be included in their rebate program. DOE recommends that States' programs include those residential ENERGY STAR appliances that offer the greatest potential energy savings and that are commonly included in existing utility or state consumer rebate programs. The tables in the accompanying Appendices A and B contain information about energy consumption in the home as well as the potential energy savings and market share of commonly rebated products. A list of ENERGY STAR products covered by federal minimum efficiency standards is provided in Appendix C. The information in these Appendices is meant to serve as reference for States to select which appliances to cover.

More specifically, DOE recommends States select from among the following residential ENERGY STAR qualified appliance categories:

- Boilers
- Central air conditioners
- Clothes washers
- Dishwashers
- Freezers
- Furnaces (oil and gas)
- Heat pumps (air source and geothermal)
- Refrigerators
- Room air conditioners
- Water heaters.

An appliance is generally understood as a product that consumes energy. This Recovery Act provision seeks to target residential appliances, rather than consumer electronics or elements of the building envelope. States that seek to offer consumer rebates to other ENERGY STAR appliance or product categories not listed above should provide thorough justification for their selection. Options beyond the list

above, including those residential appliances with improved efficiency in cold climates, will be considered on a case-by-case basis.

**Rebate Levels:** States shall specify the rebate amounts that will be provided for each product type. When setting levels, States must take into account existing state or federal tax credits, as well as any States or utility rebates. In addition, the price differential between the respective ENERGY STAR qualified product and its non-ENERGY STAR qualified counterpart should be considered. Information on representative rebate levels, current federal tax credits, and average incremental costs is included in Appendix B.

States may choose to set higher rebate levels for models with higher efficiency levels or to direct their funds only to higher efficiency models. If “tiering” rebates, States should consider the impact on energy savings as well as on the resulting administrative costs.

States shall provide in their program plans a summary of all existing States and utility incentives that will be available for each product, and explain how their proposed rebate levels will complement these baseline efforts. While it is acceptable to supplement existing States’ programs, the Recovery Act rebate funds may not be used to supplant existing program funding.

**Rebate Processing:** States must specify how the rebate payments will be processed (e.g., mail-in application forms, instant rebates at point of sale). States must also describe who will be responsible for managing the program delivery (e.g., state, a contracted third party, utilities, other organizations, or a combination). States are encouraged to pursue program delivery models that require low administrative costs. States must report on the progress of the rebate fulfillment and results from program implementation. Program plans should explain the steps States will take to manage consumer expectations regarding the availability of rebate funds, e.g., use of appropriate disclaimers on program materials and prompt announcements when funds are nearly depleted.

**Replacement:** States should specify how they are including replacements in their programs. Product recycling is encouraged and States are encouraged to work with retailers, utilities, municipalities, steel recyclers, and others to develop appropriate, low-cost systems. The replacement program is particularly relevant for refrigerators, freezers, and room air conditioners. Appendix D provides information about designing a recycling program.

## **PART II – AWARD INFORMATION**

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

DOE anticipates awarding grants under this program announcement.

### **B. ESTIMATED FUNDING**

Approximately \$296 Million is expected to be available for new awards under this announcement.

Funding allocations consist of Federal funds appropriated with the American Recovery and Reinvestment Act (ARRA). Specific funding for each award will be determined and allocated by statutory formula. States allocations are listed within Attachment 3.

### **C. EXPECTED NUMBER OF AWARDS**

DOE anticipates making approximately 56 grant awards under this announcement.

### **D. PERIOD OF PERFORMANCE**

DOE anticipates making awards that commence at the time of award and continue through 02/17/2012. Applicants must ensure that all funds are exhausted for authorized activities by this date.

### **E. TYPE OF APPLICATION**

DOE will accept only new applications under this announcement.



## **PART III - ELIGIBILITY INFORMATION**

### **ELIGIBLE APPLICANTS**

In accordance with Section 124 of EPLA 2005, eligibility for award is restricted to U.S. states, territories, and the District of Columbia (referred to as States in this document) applying for formula grant financial assistance under the Department of Energy's (DOE's) State Energy Efficient Appliance Rebate Program.

### **COST SHARING**

Funds are based on the statutory formula of the States population compared to the U.S. population. States will use their allocation to pay for the full cost of all product rebates and up to 50% of the administrative costs to carry out the rebate program. As such, States will be responsible for at least 50% of their individual program administrative costs.

## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. INITIAL APPLICATION

Initial Application Package includes a Standard Form 424. **The Initial Application shall be submitted to the following email address: [recovery@id.doe.gov](mailto:recovery@id.doe.gov) no later than August 15, 2009.**

#### 1. SF 424 – Application for Federal Assistance

Applicants must complete the Standard Form 424 (SF 424). Complete all required fields in accordance with the instructions on the form. The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm) under Certifications and Assurances. The SF 424 can be downloaded from <http://www.netl.doe.gov/business/forms.html#FUNDING>.

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

### B. ADDRESS TO REQUEST COMPREHENSIVE APPLICATION PACKAGE

**The Comprehensive Application shall be submitted no later than October 15, 2009.**

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

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

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

- **SF 424 - Application for Federal Assistance**

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the "Help Mode" (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm) under Certifications and Assurances.

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

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

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

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

### **3. Other Attachments Form**

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

- **Program Plan File – Mandatory Other Attachment**

The Program Plan file describes the States proposed program activities, including the intended scope, milestones, and goals to be attained. The plan should cover activities the States intend to undertake during the full period of the grant (November 2009 – February 2012). This plan must address the key implementation elements noted in Part I.

Save the information in a file named "ProgramPlan.pdf," and click on "Add Mandatory Other Attachment" to attach.

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

You must provide a cumulative budget for the total project rather than a separate budget for each year. Use the SF 424 A Excel, "Budget Information – Non Construction Programs" form on the DOE Financial Assistance Forms Page at:

[http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

- **Budget Justification File**

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

- **Subaward Budget File(s)**

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than 25 percent of the total work effort. Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee's name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on "Add Optional Other Attachment" to attach.

- **NEPA**

All Projects receiving financial assistance from DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. The first step in DOE's NEPA review process requires financial assistance recipients to submit information to DOE regarding the potential environmental impacts of the project receiving DOE funds. Applicants must complete the Environmental Checklist (ID-EC98.1) included as Attachment 4.

### 3. **SF-LLL Disclosure of Lobbying Activities**

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

### **Summary of Required Forms/Files**

Your application must include the following documents:

<b>Name of Document</b>	<b>Format</b>	<b>File Name</b>
Application for Federal Assistance – SF424	Form	N/A
Project Performance Site Locations	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Program Plan	PDF	ProgramPlan.pdf
SF 424A File – Budget Information for Non-Construction Programs	Excel	SF424A.xls
Budget Justification File	PDF	Budget.pdf
Subaward Budget File(s) <i>Optional</i>	Excel	See Instructions
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A
Applicant Environmental Checklist	Form	Environmental.pdf

### **D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS**

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

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)

## E. SUBMISSION DATES AND TIMES

### 1. Initial-application Due Date

Initial-applications are encouraged to be submitted immediately after release of this funding announcement and must be received by 08/15/2009, not later than 8:00 PM Eastern Time.

- **Comprehensive Application Due Date**

Comprehensive applications are encouraged to be submitted as soon as possible between the dates of 8/16/2009 and 10/15/2009, not later than 8:00 PM Eastern Time.

## F. INTERGOVERNMENTAL REVIEW

This program is subject to Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations at 10 CFR Part 1005.

One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed Federal financial assistance.

Applicants should contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the state's process under Executive Order 12372. The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at <http://www.whitehouse.gov/omb/grants/spoc.html>.

## G. FUNDING RESTRICTIONS

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

## H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

### 1. Where to Submit

**Initial Application:** The Initial Application is to be submitted to the following email address: [recovery@id.doe.gov](mailto:recovery@id.doe.gov) no later than August 15, 2009.

**Comprehensive Application: MUST BE SUBMITTED THROUGH FEDCONNECT TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the FedConnect portal at: [www.fedconnect.net](http://www.fedconnect.net) by no later than October 15, 2009. Information regarding how to submit applications via Fed Connect can be found at: [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf) Further, it is the responsibility of the applicant, prior to the offer due date and time, to verify successful transmission.

### 2. Registration Process

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

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

### **A. REVIEW AND AWARD PROCESS**

DOE will review applications and make awards under this funding opportunity in accordance with the final 2009 American Recovery and Reinvestment Act (ARRA) allocations as outlined in Attachment 3 to this announcement.

DOE will make an initial award to each selected applicant based on the Initial Application (see Part IV above).

DOE will issue a modification to the award after review and approval of the States Plan submitted as part of the Comprehensive Application. DOE will review the Comprehensive Application for completeness and complete a Technical Review to evaluate the approach outlined by the applicant. The award modification will obligate the remaining balance of the allocated funding for the States.

## **Part VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. Notice of Award**

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

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **1. Administrative Requirements**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600. (See: <http://ecfr.gpoaccess.gov>).

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

Special Provisions relating to work funded under American Recovery and Reinvestment Act of 2009, Pub. L. 111-5 shall apply. Also, the Office of Management and Budget may be promulgating additional provisions or modifying existing provisions. Those additions and modifications will be incorporated into the Special Provisions as they become available. A draft of these Special Provisions is located at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm)

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

A sample Special Terms and Conditions document, which reflects the expected terms of these awards, has been included as Attachment 1 to this announcement.

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

#### **3. Intellectual Property Provisions**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/financial\\_assistance\\_awards.htm](http://www.gc.doe.gov/financial_assistance_awards.htm). It is anticipated that the applicable provision will be NRD-1003 and all recipients under this program would be subject to the intellectual property requirements at 10 CFR 600.136(a) and (c)

### **C. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2. A sample checklist is included as Attachment 2 to this announcement. Financial and progress reports will be used to adhere to the transparency and oversight requirements detailed in the Recovery Act and posted on <http://www.recovery.gov>. Please note that the due date of certain reports may change.

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

### **A. QUESTIONS**

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

### **B. AGENCY CONTACT**

Name: Jeffrey C. Fogg  
E-mail: [foggjc@id.doe.gov](mailto:foggjc@id.doe.gov)  
Telephone: (208) 526-4958  
FAX: (208) 526-5548



## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

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

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

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

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

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

## **Part IX – APPENDICES/REFERENCE MATERIAL**

- Attachment 1, Sample Special Terms and Conditions
- Attachment 2, Sample Reporting Requirements Checklist
- Attachment 3, States Allocations
- Attachment 4, Environmental Checklist

### Informational Appendices

- Appendix A, Residential Energy Consumption Data
- Appendix B, Market and Energy Data for Commonly Rebated Energy Star Products
- Appendix C, Energy Star Products Covered Under the Department of Energy's Appliance Standards Program
- Appendix D, Appliance Recycling Program Design Considerations

**Department of Revenue  
Alaska Housing Finance Corporation**

<b>Subject of RPL:</b> AHFC Energy Assurance/ Smart Grid Resiliency Program (EA/SGR)	<b>ADN/RPL #:</b> 04-00-1022
<b>Amount Requested:</b> \$262,969	<b>Appropriation Authority:</b> Ch. 15, SLA09, Sec. 1, Page 19, Lines 31-33
<b>Funding Source:</b> Federal Stimulus: ARRA 2009 - Capital	<b>Statutory Authority:</b> AS 18.56

**PURPOSE**

The Alaska Housing Finance Corporation (AHFC) requests authority to receive and expend an additional \$262,969 of Federal Receipts from the American Recovery & Reinvestment Act of 2009 for the new Energy Assurances/Smart Grid Resiliency Program (EA/SGR). Funding for this program has been approved by the U.S. Department of Energy (USDOE) and is available for distribution following approval of the initial program plan. This program will be managed by the Regulatory Commission of Alaska (RCA). The funds will pass through AHFC to the RCA.

The State of Alaska has a population of 686,293 served by 125 electric utilities, the majority of which are not interconnected and serve small populations in rural locations that are not accessible by roads. Alaska does not share an electrical interconnection with any other state or any foreign country.

Approximately 65% of Alaska's residents live along the Alaska Railbelt (Railbelt) corridor, which includes stretches from the Interior of Alaska (Fairbanks) through South Central Alaska (Anchorage) and into the Kenai Peninsula (Homer). There are four military installations interconnected with the Railbelt. The Railbelt is served by seven interconnected electric utilities, most of which are cooperatives or municipalities. Two private distributors provide natural gas servicing many of the residents within the Railbelt and to the electric utilities. Currently, 64% of the installed electrical generation in the Railbelt uses natural gas for fuel. In 2007, over 70% of the power generated in the Railbelt came from natural gas. All of the natural gas used for electric generation and heating in the Railbelt comes from Alaska's Cook Inlet.

The objectives of this project are to develop a Railbelt Energy Assurance Plan that will accomplish the following objectives:

- Strengthen and expand state energy assurance planning and resiliency efforts by identifying and investigating likely emergency scenarios and incorporating response actions.

Agency Contact: Les Campbell, (907) 330-8356  
Legislative Finance Contact: Rob Carpenter, (907) 465-5413

- Enhance cooperation among Railbelt utilities and fuel suppliers in an emergency.
- Build in-house State energy assurance expertise useful in the Railbelt and other areas of Alaska.
- Identify weak links in the Railbelt energy delivery system and educate and inform state and federal legislators and key leaders that develop and influence state energy policies and funding.
- Guide and inform the preparation of new contractual relationships between Railbelt fuel suppliers and utilities, upon the expiration of the existing contracts, to ensure a higher level of cooperation and coordination in the wake of a system-wide emergency.
- Support the local economy by hiring Alaskan consultants to formulate the energy assurance plan.

### **Description of the Project**

The RCA proposes to undertake the following activities under this initiative:

- Identify and involve key stakeholders in the Railbelt energy supply and delivery chain.
- Assess the current state of emergency preparation and identify the likely sources of disruption.
- Develop a new Energy Assurance Plan for the Railbelt.
- Develop and initiate a process for tracking the duration, response, restoration and recovery time of energy supply disruption events.
- Conduct at least one intrastate energy emergency exercise.
- Identify weak links in the Railbelt energy delivery system.
- Create in-house expertise at the State level on energy assurance planning and resiliency.
- Recommend revisions to State policies, procedures and practices as necessary.

### **Potential Impact of the Project**

The proposed project will provide immediate benefits to over 65% of Alaska's population by improving the resiliency and reliability of their energy delivery system. The knowledge and experience gained in this process can be used in the future development of energy assurance plans for the many isolated communities in Alaska.

### **Major Participants**

All seven Railbelt electric utilities and both natural gas utilities are anticipated to participate along with fuel suppliers, and federal, state, and local government representatives.

### **PREVIOUS LEGISLATIVE CONSIDERATION**

- This is the first RPL request for this appropriation.
- This is a new program to AHFC.
- The Legislature has not had any previous consideration of this program.

Agency Contact: Les Campbell, (907) 330-8356

Legislative Finance Contact: Rob Carpenter, (907) 465-5413

### **TIMING ISSUES**

- The funds will be available when final plan is approved by USDOE and upon approval of this RPL by LBA.
- AHFC expects these funds to be expended within three years.
- AHFC anticipates awarding these funds in December 2009.

### **BUDGETARY ISSUES**

- This program is a pass through to the Regulatory Commission of Alaska (RCA).
- AHFC does not expect to have much administrative expenses related to this program; however, if needed Corporate Receipts will support AHFC's administrative expenses related to this program.
- These funds are Federal ARRA from USDOE. No General Funds will be used.

Attached are supporting documents:

- RCA Project Narrative
- Funding Allocation
- Funding Notice

# PROJECT NARRATIVE – STATE OF ALASKA

DE-FOA-00000091

## Summary

The Alaska Housing Finance Corporation (AHFC), the designated State Energy Office for the State of Alaska, is applying for the funding available under DE-FOA-00000091, in cooperation with the Regulatory Commission of Alaska (RCA), the public utility commission for the State of Alaska. AHFC and the RCA desire to develop an Energy Assurance Plan for the Alaska Railbelt region in which 65% of the state's population resides.

## Background

The State of Alaska has a population of 686,293 served by 125 electric utilities. The vast majority of the electric utilities are not interconnected and serve small populations in rural locations that are not accessible by roads. Many are only accessible by air during the long winters. Alaska does not share an electrical interconnection with any other US State or any foreign country.

Approximately 65% of Alaska's residents live along the Alaska Railbelt (Railbelt) corridor, which includes the communities of Anchorage, Eagle River, Fairbanks, Wasilla, Palmer, Homer, Kenai, Seward, Fort Richardson, Fort Wainwright, Elmendorf Air Force Base, Eilson Air Force Base, and several other small communities in between. The residents of the Railbelt are served by seven interconnected electric utilities, most of which are cooperatives or municipalities. Two private distributors provide natural gas service to many of the residents within the Railbelt and to the electric utilities. Currently, 64% of the installed electrical generation in the Railbelt uses natural gas for fuel. In 2007, over 70% of the power generated in the Railbelt came from natural gas. All of the natural gas used for electric generation and heating in the Railbelt comes from Alaska's Cook Inlet.

## Problem

Once considered one of the most productive gas fields in the world, the known and proven Cook Inlet natural gas resources are dwindling as more expensive gas recovery methods are required to extract gas and exploration has slowed. The Railbelt needs more natural gas than ever but suffers from the greatest shortage it has ever faced. While a natural gas line from the North Slope of Alaska to the Railbelt has the potential to deliver an abundance of natural gas to the region, the reality of such a line is a long way off and the need for natural gas is immediate.

Beyond the concerns regarding the quantity of natural gas available, the Railbelt also suffers from a lack of robustness. There is a lack of natural gas storage to ensure deliverability of natural gas on peak demand days (the coldest and darkest days). The drastic difference in temperature and daylight hours in Alaskan seasons translates to dramatic swings in natural gas demand as it is used for both heating and electricity. Deliverability is a key issue for Railbelt utilities.

The transmission intertie between regions within the Railbelt is also fragile. There is only one 75 MW transmission line that carries power from Southcentral Alaska (Anchorage, Eagle River, Palmer, and Wasilla) to and from the Interior (Fairbanks) and only one 75 MW transmission line from Southcentral Alaska to and from the Kenai Peninsula (Homer, Kenai, Seward).

Much of the Railbelt generation is aging, and while plans are underway to replace the generation and to diversify fuel sources, Railbelt residents are highly exposed to the immediate limitations of their energy delivery system, including the deliverability of natural gas, and the possibility of a natural disaster (especially snow storms, avalanches, or earthquakes) that could compromise their system.

# PROJECT NARRATIVE – STATE OF ALASKA

## DE-FOA-00000091

There is currently no comprehensive Railbelt energy assurance plan in place guiding our response to an emergency by identifying a command and control center, and coordinating the responses of the natural gas suppliers and electric utilities, and communication with customers and media. There is also a need for a comprehensive plan that reduces our vulnerabilities by guiding the development of alternative resources (including new pipelines), the location or coordination of generation facilities, the strengthening (redundancy in) the interties, initiatives to develop natural gas storage to alleviate deliverability issues during peak usage, emergency planning (usage reductions, conservation, addressing system failures, consumer and media contacts). To date, the large number of customer-controlled utilities among a relatively small customer base has not yielded the cooperation and comprehensive planning necessary to adequately prepare for emergencies.

### Objectives

Given the amount of funding available for Alaska in this FOA (\$262,969), the vast size of the state, the large number of independent, non-interconnected utilities, and the consolidation of 65% of Alaska's population along the Railbelt, the RCA believes the greatest value can be realized by focusing on the development of a Railbelt Energy Assurance plan.

The objectives of the RCA are to:

- strengthen and expand state energy assurance planning and resiliency efforts by identifying and investigating likely emergency scenarios and incorporating response actions;
- enhance cooperation and coordination among Railbelt utilities and fuel suppliers in regard to emergency preparedness;
- build in-house State energy assurance expertise useful in the Railbelt and other areas of Alaska;
- identify weak links in the Railbelt energy delivery system;
- educate and inform state and federal legislators and key leaders that develop and influence state energy policies and funding;
- guide and inform the preparation of new contractual relationships between Railbelt fuel suppliers and utilities, upon the expiration of the existing contracts, to ensure a higher level of cooperation and coordination in the wake of a system-wide emergency; and
- support the local economy by hiring Alaskan consultants to formulate the energy assurance plan.

### Scope of Work

The RCA proposes to undertake the following activities under this initiative

- Identify and involve key stakeholders in the Railbelt energy supply and delivery chain as well as state and federal disaster management.
- Assess the current state of emergency preparation, including the overall state emergency plan, contractual obligations between utilities and suppliers and memorandums of agreement.
- Identify the most likely causes of a disruption to the energy delivery system (supply, deliverability, natural disaster, plant failure, etc...) so that research and reporting efforts can focus on the most likely scenarios.
- Develop a new Energy Assurance Plan for the Railbelt incorporating response actions reflecting the current array of energy sources, fuel delivery, power generation, transmission, and distribution systems.
- Develop and initiate a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.
- Conduct at least one intrastate energy emergency exercise to evaluate the

# PROJECT NARRATIVE – STATE OF ALASKA

DE-FOA-00000091

effectiveness of the Energy Assurance Plans.<sup>1</sup>

- Identify weak links in the Railbelt energy delivery system and rank the weaknesses in order to prioritize projects that will have the greatest effect on improving Railbelt reliability.
- Use the Energy Assurance Plan to project how proposed new supply, generation, and transmission projects will affect the overall resiliency of the Railbelt system.
- Create in-house expertise at the State level on energy assurance planning and resiliency by involving State employees in the project tasks and providing routine training, focusing on vulnerabilities, critical infrastructure interdependencies, energy supply systems, energy data analysis, and communications.
- Prepare and present the results of the Project to the appropriate state and federal elected officials, leaders, and funding agencies.
- Recommend revisions to State policies, procedures and practices to reflect the Energy Assurance Plans as necessary.

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<sup>1</sup> Alaska is not electrically interconnected with any other US state or country and therefore will not be investigating interstate connections.



## ATTACHMENT A

### Proposed Fund Allocation for ARRA State EA Initiative

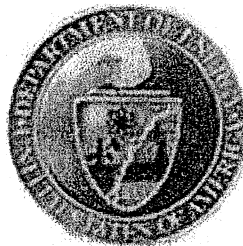
The formula for allocating funding is comprised of a base allocation (\$11,200,000), with the balance (\$28,300,000) distributed based on population according to the 2008 U.S. Census data.

States, Territories and District of Columbia	Population (according to the 2008 U.S. Census data)	Percent of U.S. Population	Funding Based on Population	Funding Base	Total Funding
Alabama	4,661,900	1.51%	\$ 427,742	\$ 200,000	\$ 627,742
Alaska	686,293	0.22%	\$ 62,969	\$ 200,000	\$ 262,969
Arizona	6,500,180	2.11%	\$ 596,410	\$ 200,000	\$ 796,410
Arkansas	2,855,390	0.93%	\$ 261,990	\$ 200,000	\$ 461,990
California	36,756,666	11.92%	\$ 3,372,526	\$ 200,000	\$ 3,572,526
Colorado	4,939,456	1.60%	\$ 453,209	\$ 200,000	\$ 653,209
Connecticut	3,501,252	1.14%	\$ 321,250	\$ 200,000	\$ 521,250
Delaware	873,092	0.28%	\$ 80,109	\$ 200,000	\$ 280,109
District of Columbia	591,833	0.19%	\$ 54,302	\$ 200,000	\$ 254,302
Florida	18,328,340	5.94%	\$ 1,681,676	\$ 200,000	\$ 1,881,676
Georgia	9,685,744	3.14%	\$ 888,694	\$ 200,000	\$ 1,088,694
Hawaii	1,288,198	0.42%	\$ 118,196	\$ 200,000	\$ 318,196
Idaho	1,523,816	0.49%	\$ 139,814	\$ 200,000	\$ 339,814
Illinois	12,901,563	4.18%	\$ 1,183,754	\$ 200,000	\$ 1,383,754
Indiana	6,376,792	2.07%	\$ 585,088	\$ 200,000	\$ 785,088
Iowa	3,002,555	0.97%	\$ 275,493	\$ 200,000	\$ 475,493
Kansas	2,802,134	0.91%	\$ 257,104	\$ 200,000	\$ 457,104
Kentucky	4,269,245	1.38%	\$ 391,715	\$ 200,000	\$ 591,715
Louisiana	4,410,796	1.43%	\$ 404,703	\$ 200,000	\$ 604,703
Maine	1,316,456	0.43%	\$ 120,789	\$ 200,000	\$ 320,789
Maryland	5,633,597	1.83%	\$ 516,898	\$ 200,000	\$ 716,898
Massachusetts	6,497,967	2.11%	\$ 596,207	\$ 200,000	\$ 796,207
Michigan	10,003,422	3.24%	\$ 917,842	\$ 200,000	\$ 1,117,842
Minnesota	5,220,393	1.69%	\$ 478,986	\$ 200,000	\$ 678,986
Mississippi	2,938,618	0.95%	\$ 269,626	\$ 200,000	\$ 469,626
Missouri	5,911,605	1.92%	\$ 542,406	\$ 200,000	\$ 742,406
Montana	967,440	0.31%	\$ 88,765	\$ 200,000	\$ 288,765
Nebraska	1,783,432	0.58%	\$ 163,635	\$ 200,000	\$ 363,635
Nevada	2,600,167	0.84%	\$ 238,573	\$ 200,000	\$ 438,573
New Hampshire	1,315,809	0.43%	\$ 120,729	\$ 200,000	\$ 320,729
New Jersey	8,682,661	2.82%	\$ 796,658	\$ 200,000	\$ 996,658
New Mexico	1,984,356	0.64%	\$ 182,070	\$ 200,000	\$ 382,070
New York	19,490,297	6.32%	\$ 1,788,289	\$ 200,000	\$ 1,988,289
North Carolina	9,222,414	2.99%	\$ 846,182	\$ 200,000	\$ 1,046,182
North Dakota	641,481	0.21%	\$ 58,858	\$ 200,000	\$ 258,858
Ohio	11,485,910	3.72%	\$ 1,053,864	\$ 200,000	\$ 1,253,864
Oklahoma	3,642,361	1.18%	\$ 334,197	\$ 200,000	\$ 534,197
Oregon	3,790,060	1.23%	\$ 347,749	\$ 200,000	\$ 547,749
Pennsylvania	12,448,279	4.04%	\$ 1,142,164	\$ 200,000	\$ 1,342,164
Rhode Island	1,050,788	0.34%	\$ 96,413	\$ 200,000	\$ 296,413

South Carolina	4,479,800	1.45%	\$ 411,034	\$ 200,000	\$ 611,034
South Dakota	804,194	0.26%	\$ 73,787	\$ 200,000	\$ 273,787
Tennessee	6,214,888	2.01%	\$ 570,233	\$ 200,000	\$ 770,233
Texas	24,326,974	7.89%	\$ 2,232,068	\$ 200,000	\$ 2,432,068
Utah	2,736,424	0.89%	\$ 251,075	\$ 200,000	\$ 451,075
Vermont	621,270	0.20%	\$ 57,003	\$ 200,000	\$ 257,003
Virginia	7,769,089	2.52%	\$ 712,836	\$ 200,000	\$ 912,836
Washington	6,549,224	2.12%	\$ 600,910	\$ 200,000	\$ 800,910
West Virginia	1,814,468	0.59%	\$ 166,482	\$ 200,000	\$ 366,482
Wisconsin	5,627,967	1.82%	\$ 516,382	\$ 200,000	\$ 716,382
Wyoming	532,668	0.17%	\$ 48,874	\$ 200,000	\$ 248,874
<b>Territories</b>					
Puerto Rico	3,954,037	1.28%	\$ 362,794	\$ 200,000	\$ 562,794
American Samoa	57,291	0.02%	\$ 5,257	\$ 200,000	\$ 205,257
Guam	173,456	0.06%	\$ 15,915	\$ 200,000	\$ 215,915
Northern Mariana Islands	84,546	0.03%	\$ 7,757	\$ 200,000	\$ 207,757
U.S. Virgin Islands	108,448	0.04%	\$ 9,950	\$ 200,000	\$ 209,950
<b>Total</b>	<b>308,437,502</b>	<b>100.00%</b>	<b>\$ 28,300,000</b>	<b>\$ 11,200,000</b>	<b>\$ 39,500,000</b>

U.S. Census data: (<http://www.census.gov/popest/states/tables/NST-EST2008-01.xls>)

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U. S. Department of Energy  
National Energy Technology Laboratory**

**Recovery Act - Enhancing State Government Energy Assurance  
Capabilities and Planning for Smart Grid Resiliency**

**Funding Opportunity Number: DE-FOA-0000091**

**Announcement Type: Initial**

**CFDA Number: 81.122**

<b>Issue Date:</b>	<b>06/15/2009</b>
<b>Letter of Intent Due Date:</b>	<b>Not Applicable</b>
<b>Pre-Application Due Date:</b>	<b>Not Applicable</b>
<b>Application Due Date:</b>	<b>07/30/2009 at 3:00:00 PM Eastern Time</b>

## **NOTE: REGISTRATION/SUBMISSION REQUIREMENTS**

### **Registration Requirements**

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

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

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

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

### **Questions**

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

Questions regarding the **content** of the announcement must be submitted through the FedConnect portal. You must register with FedConnect and join the Response Team to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at

<http://www.compusearch.com/products/fedconnect/fedconnect.asp>. DOE/NNSA will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

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

### **Application Preparation and Submission**

**Applicants must download the application package, application forms and instructions, from Grants.gov.**

**Grants.gov website: <http://www.grants.gov/>**

(Additional instructions are provided in Section IV A of this FOA.)

**Applicants must submit their application through the FedConnect portal. FedConnect website:**

**[www.fedconnect.net](http://www.fedconnect.net)**

(Additional instructions are provided in Section IV H of this FOA.)

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## PART I – FUNDING OPPORTUNITY DESCRIPTION

### A. INTRODUCTION

#### **American Recovery and Reinvestment Act of 2009 (ARRA 2009)**

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

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

These special terms and conditions will be based on provisions included in Titles XV and XVI of the Act. The special terms and conditions can be found at [http://management.energy.gov/policy\\_guidance/1672.htm](http://management.energy.gov/policy_guidance/1672.htm). The Office of Management and Budget (OMB) has issued Initial Implementing Guidance for the Recovery Act. See M-09-10, Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009 and M-09-15, Updated Implementing Guidance for the American Recovery and Reinvestment Act of 2009. OMB will be issuing additional guidance concerning the Act in the near future. Applicants should consult the DOE website, [www.energy.gov](http://www.energy.gov), the OMB website <http://www.whitehouse.gov/omb/>, and the Recovery website, [www.recovery.gov](http://www.recovery.gov) regularly to keep abreast of guidance and information as it evolves.

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

Be advised that Recovery Act funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related OMB Guidance. Applicants for projects funded by sources other than the Recovery Act should plan to keep separate records for Recovery Act funds and ensure those records comply with the requirements of the Act. Funding provided through the Recovery Act that is supplemental to an existing grant is one-time funding. Applicants should require their first tier subawardees to obtain a DUNS number (or update the existing DUNS record) and register with the Central Contractor Registration (CCR).

### B. DESCRIPTION OF FUNDING OPPORTUNITY

#### **1. Background:**

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

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

This initiative, called "The Enhancing State Government Energy Assurance Capabilities and Planning for Smart

Grid Resiliency Initiative" (hereinafter called the State EA Initiative) focuses on developing new, or refining existing, plans to integrate new energy portfolios (renewables, biofuels, etc) and new applications, such as Smart Grid technology, into energy assurance and emergency preparedness plans. Better planning efforts will help contribute to the resiliency of the energy sector, including the electricity grid, by focusing on the entire energy supply system, which includes refining, storage, and distribution of fossil and renewable fuels.

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

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

The purposes of this initiative are to: 1) strengthen and expand State and local government energy assurance planning and resiliency efforts by incorporating response actions for new energy portfolios and Smart Grid applications, 2) create jobs, and 3) build in-house State and local government energy assurance expertise.

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

The following activities shall be addressed when structuring projects under this funding opportunity:

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

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

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

States cannot use the funds received through this FOA for any activities funded by Annual or ARRA State Energy Program funds, nor can the funds under those programs be used for activities under this FOA. Essentially, funds received under this announcement can not be used to supplant funds under the Energy Efficiency and Conservation Block Grant Program, the Annual State Energy Program (SEP) or the Recovery Act SEP Program.

## **3. Benefits**

The anticipated benefits of this initiative are:

1. Creating more current or up-to-date energy assurance plans will incorporate new energy portfolios such as renewables, biofuels, and Smart Grid technologies, etc. Updating EA plans to reflect these portfolios will allow States to be more informed and better prepared when responding to energy emergencies.
2. Creating in-house expertise at the State level on energy assurance planning and resiliency, focusing on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy

supply systems, energy data analysis, and communications will allow State agencies to better identify energy events and assess supply disruptions. Building expertise and capability will help agencies be more aware of how energy systems work and their importance to other sectors. This will also help States quantify the severity and identify the duration of an energy supply disruption. Enhancing in-house energy assurance capability will ultimately reduce the response, restoration and recovery time from energy supply disruption events.

3. Better coordination across State agencies and between states and localities regionally creates more efficient preparedness and response actions, reduces duplication, and decreases the time required to recover and restore the energy infrastructure.
4. Creating and saving jobs.

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

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



## PART II – AWARD INFORMATION

### A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding grants under this funding opportunity announcement.

### B. ESTIMATED FUNDING

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

### C. MAXIMUM AND MINIMUM AWARD SIZE

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

### D. EXPECTED NUMBER OF AWARDS

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

### E. PERIOD OF PERFORMANCE

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

### F. TYPE OF APPLICATION

DOE will accept only new applications under this announcement.

### PART III - ELIGIBILITY INFORMATION

#### **A. ELIGIBLE APPLICANTS**

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

#### **B. COST SHARING**

Cost sharing is not required.

## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION PACKAGE

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

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

#### 1. Letter of Intent.

Letters of Intent are not required.

#### 2. Pre-application

Pre-applications are not required.

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

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

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

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm) under Certifications and Assurances.

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

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

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

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

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

#### 3. Other Attachments Form

Submit the following files with your application and attach them to the Other Attachments Form. Click on “Add

Mandatory Other Attachment" to attach the Project Narrative. Click on "Add Optional Other Attachment," to attach the other files.

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

The project narrative must include a concise summary (not to exceed 3 pages when printed using standard 8.5" by 11" paper with 1 inch margins, single-spaced) of the approach for executing the project as defined in the Statement of Project Objectives (SOPO). Do not include any Internet addresses (URLs) that provide information necessary to review the application. Save the information in a single file named "Project.pdf," and click on "Add Mandatory Other Attachment" to attach.

The Department of Energy's, National Energy Technology Laboratory (NETL) has provided the following SOPO for this initiative, which will be included in the resultant award. The SOPO may be released to the public by NETL in whole or in part at any time.

#### STATEMENT OF PROJECT OBJECTIVES (SOPO)

##### A. OBJECTIVES

The objectives of this initiative are to: 1) strengthen and expand State and local government energy assurance planning and resiliency efforts by incorporating response actions for new energy portfolios and Smart Grid applications; 2) create jobs, and 3) build in-house State and local government energy assurance expertise.

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

##### B. SCOPE OF WORK

The following activities are addressed under this initiative:

- Create in-house expertise at the State level on energy assurance planning and resiliency, focusing on Smart Grid applications and vulnerabilities, critical infrastructure interdependencies, cyber security, energy supply systems, energy data analysis, and communications.
- Develop new, or refine existing, Energy Assurance Plans to incorporate response actions to new energy portfolios, including Smart Grid technologies.
- Revise appropriate State policies, procedures and practices to reflect the Energy Assurance Plans. States should append the Energy Assurance Plan to the State Energy Plan, as appropriate.
- Development and initiation of a process or mechanism for tracking the duration, response, restoration and recovery time of energy supply disruption events.
- Train appropriate personnel on energy infrastructure and supply systems and the content and execution of energy assurance plans.
- Conduct energy emergency exercises (intra and inter-state) to evaluate the effectiveness of the Energy Assurance Plans.

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

- Number of Energy Assurance Plans created or substantially revised
- Number of jobs created within State government agencies for energy assurance planning and response capabilities
- Number of energy assurance training sessions, workshops and/or exercises conducted

- Number of people trained

### C. TASKS TO BE PERFORMED

These are the minimum required tasks, however more additional subtasks may be added by the Recipient and identified/described in the Project Management Plan.

#### Task 1.0 - Project Management Plan

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

#### Task 2.0 – Workforce Development Plan

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

#### Task 3.0 – Energy Assurance Planning

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

#### Task 4.0 – Energy Supply Disruption Tracking Process

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

#### Task 5.0 - Energy Assurance Exercise

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

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

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

### D. DELIVERABLES

These are to be considered the minimum required deliverables, however more may be added by the recipient and identified/described in the Project Management Plan.

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

Deliverable 2.0 – Workforce Development Plan (Plan due 90 days after the award and revised

periodically if necessary throughout the performance period.)

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

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

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

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

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

Note: The periodic, topical, and final deliverables and reports shall be submitted in accordance with the "Federal Assistance Reporting Checklist". A sample checklist is included in Attachment B of this FOA.

- **Project Summary/Abstract File**

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

- **ARRA 2009 Prevailing Wage Information**

Applications shall provide information which validates that all laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the Act are paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by subchapter IV of Chapter 31 of title 40, United States Code (Davis-Bacon Act). For guidance on how to comply with this provision, see <http://www.dol.gov/esa/whd/contracts/dbra.htm>. Save the ARRA 2009 prevailing wage assurance in a single file named "ARRAWage.pdf," and click on "Add Optional Other Attachment" to attach.

- **NEPA**

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

### **3. SF-LLL Disclosure of Lobbying Activities**

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

### Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
Application for Federal Assistance – SF424	Form	N/A
Project/Performance Site Location(s)	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Project Narrative File	PDF	Project.pdf
Project Summary/Abstract File	PDF	Summary.pdf
ARRA 2009 Prevailing Wage Information	PDF	ARRAWage.pdf
NEPA Form	PDF	See Instructions
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A

#### D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)

#### E. SUBMISSION DATES AND TIMES

##### 1. Pre-application Due Date

Pre-applications are not required.

##### 2. Application Due Date

Applications should be received by 07/30/2009, not later than 3:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

#### F. INTERGOVERNMENTAL REVIEW

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

#### G. FUNDING RESTRICTIONS

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

#### H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

## 1. Where to Submit

- **APPLICATIONS MUST BE SUBMITTED THROUGH FEDCONNECT TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the FedConnect portal at [www.fedconnect.net](http://www.fedconnect.net). Information regarding how to submit applications via Fed Connect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect Ready Set Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect%20Ready%20Set%20Go.pdf).

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

## 2. Registration Process

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



## Part V - APPLICATION REVIEW INFORMATION

### A. REVIEW AND AWARD PROCESS

Applications under this funding opportunity will be reviewed and awarded in accordance with the final 2009 American Recovery and Reinvestment Act (ARRA) Formula Allocations, included as Attachment A to this announcement.

### B. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE anticipates making initial awards as early as September 15, 2009 with all 56 awards completed by October 30, 2009.

## **A. AWARD NOTICES**

### **Notice of Award**

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

## **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

### **1. Administrative Requirements**

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

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

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

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

#### **Special Terms and Conditions and National Policy Requirements**

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

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

#### **Intellectual Property Provisions**

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

## **C. REPORTING**

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

## PART VII - QUESTIONS/AGENCY CONTACTS

### A. QUESTIONS

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at <http://www.compusearch.com/products/fedconnect/fedconnect.asp>.

DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website. DOE/NNSA will not respond to questions received within 5 days of the FOA closing date. For this FOA, no response will be provided for questions received after July 26, 2009.

### B. AGENCY CONTACT

Name: Kellyn L. Cassell  
E-mail: [kellyn.cassell@netl.doe.gov](mailto:kellyn.cassell@netl.doe.gov)  
Telephone: (304) 285-4554  
FAX: (304) 285-4683

## PART VIII - OTHER INFORMATION

### A. MODIFICATIONS

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

### B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

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

### C. COMMITMENT OF PUBLIC FUNDS

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

**Department of Education and Early Development  
Mt. Edgecumbe Boarding School**

<b>Subject of RPL:</b> U.S. Department of Education Impact Aid for Construction Discretionary Grant Program	<b>ADN/RPL #:</b> 05-00-0124
<b>Amount requested:</b> \$ 703,654	<b>Appropriation Authority:</b> Sec 1, Ch 15, SLA 2009, page 4, lines 16-18
<b>Funding source:</b> Federal Receipts, Capital	<b>Statutory Authority:</b> AS 44.27.020(3), 44.42.020(a)(1), 44.42.080(1)

**PURPOSE**

Additional federal receipts authorization is necessary to include a grant received from the U.S. Department of Education Impact Aid School Construction program and will be used to complete two emergency projects on the Mt. Edgecumbe High School (MEHS) campus. One project will replace the roof on the main academic building (\$527,020), and the other will upgrade the fire alarm system in the field house building (gym) and the dining hall (\$176,634). The main academic building roof is aging and leaking. The roof repair project will provide needed protection to a valuable state asset. The fire alarm system on campus is aging and regularly reports faults that have proven difficult to trace. Replacing the fire alarm system in the field house building and the dining hall will enhance safety for students, teachers and staff alike.

**PREVIOUS LEGISLATIVE CONSIDERATION**

Last session, the finance committees considered deferred maintenance at MEHS as a general topic related to capital funding in Senate Bill 75, page 4, lines 16-18. The department continues to work on deferred maintenance projects, and anticipates completing roof replacement on one other building on campus, and replacing fire alarm systems at five other buildings with legislatively appropriated funding from the past two legislative sessions. There is no intent language in the appropriation bill, nor have any previous RPLs been considered for this activity or project.

**TIMING ISSUES**

Funding is not in the FY10 budget because the federal application process began towards the end of the last legislative session, and award announcements were made in early July. The imminent and short funding performance period is from 8/31/09 to 1/31/10, which prohibits delaying action until the current budget cycle is complete. In addition, the funding is competitively awarded, the results of which cannot be predicted.

The department has grant award paperwork approved on July 30, 2009 that identifies the amounts for the two projects. The first 10% of the funding has been released, and a

Agency Contact: Sam Kito III, (907) 465-6906

Legislative Finance Contact: Danith Watts, (907) 465-5435

subsequent 80% is available upon submittal of evidence of expenditure of funds for the referenced projects. Funds are currently available and must be expended by 1/31/2010; the approval is needed now because the grant funding has a limited performance period and delay or disapproval will mean that the federal funding may no longer be available for the projects, and the projects may experience delays that could result in damage or loss of the buildings in question.

The Impact Aid School Construction program does not coincide with the federal cycle; rather, when federally appropriated funding becomes available, the U. S. Department of Education initiates new competitions for grants.

### **BUDGETARY ISSUES**

This funding is directly aligned with the agency's mission and long term plans for the MEHS campus. This funding will allow the department to take another step forward in addressing deferred maintenance at the MEHS facilities, and continue to work at extending the life of the buildings. All of the funding will fall under the Contractual line item.

The department has issued a notice to proceed on the academic building roof project, but limited funding has been expended as of August 31, 2009. Receipt and expenditure of the federal funds in question will ultimately result in a decreased deferred maintenance need at the MEHS campus and there will actually be less pressure on GF as a result of accepting this funding.

There is no impact on staff positions, and since the funding is for construction, no staff positions will be funded. There is no excess receipt authority. Continuing funding will not be requested in the next budget, but the department will continue to work with MEHS staff on future Impact Aid School Construction competitions. The funds will be spent between 9/15/09 and 1/31/10; there is no impact on personal services, indirect cost recovery, or fees for services.

***Legislative Fiscal Analyst Comment:* Last session, the legislature approved \$1 million GF for general deferred maintenance at MEHS [Ch. 15, SLA2009 (SB 75), page 4, lines 16-18]. This RPL request is for additional federal funds for two specific emergency projects related to roofing and the fire alarm system.**



U.S. Department of Education  
Washington, D.C. 20202

## GRANT AWARD NOTIFICATION

<b>1</b>	<b>RECIPIENT NAME:</b> Alaska State Department of Education P.O. Box 110500 Juneau, AK 99811 - 0500	<b>5</b>	<b>AWARD INFORMATION</b> PR/AWARD NUMBER S041C090037 ACTION NUMBER 01 ACTION TYPE New AWARD TYPE Discretionary																				
<b>2</b>	<b>PROJECT TITLE</b> 84.041C IMPACT AID PROGRAM, DISCRETIONARY CONSTRUCTION PROGRAM	<b>6</b>	<b>AWARD PERIODS</b> BUDGET PERIOD 08/01/2009 - 01/31/2010 PERFORMANCE PERIOD 08/01/2009 - 01/31/2010																				
<b>3</b>	<b>PROJECT STAFF</b>  RECIPIENT PROJECT DIRECTOR SAM S. KITO (907) 465 - 6906  EDUCATION PROGRAM CONTACT Kristen J. Walls-Rivas (202) 260 - 1357  EDUCATION PAYMENT CONTACT GAPS PAYEE HOTLINE (888) 336 - 8930	<b>7</b>	<b>AUTHORIZED FUNDING</b>  THIS ACTION \$527,020.00 BUDGET PERIOD \$527,020.00 PERFORMANCE PERIOD \$527,020.00																				
<b>4</b>	<b>KEY PERSONNEL</b> <table border="1"><thead><tr><th>NAME</th><th>TITLE</th><th>LEVEL OF EFFORT</th></tr></thead><tbody><tr><td>Sam S Kitto III</td><td>Facilities Engineer</td><td>100%</td></tr><tr><td>SAM S KITO</td><td>Project Director</td><td></td></tr></tbody></table>	NAME	TITLE	LEVEL OF EFFORT	Sam S Kitto III	Facilities Engineer	100%	SAM S KITO	Project Director		<b>8</b>	<b>ADMINISTRATIVE INFORMATION</b>  DUNS/SSN 809386824 REGULATIONS CFR PART 222.177 EDGAR AS APPLICABLE ATTACHMENTS A, B OESE, C, E1, E2, F, S, J											
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SAM S KITO	Project Director																						
<b>9</b>	<b>LEGISLATIVE AND FISCAL DATA</b> AUTHORITY: PL Elementary & Secondary Education Act ESEA TITLE VIII--IMPACT AID PROGRAM TITLE: IMPACT AID  CFDA/SUBPROGRAM NO: 84.041C <table border="1"><thead><tr><th>FUND CODE</th><th>FUNDING YEAR</th><th>AWARD YEAR</th><th>ORG. CODE</th><th>CATEGORY</th><th>LIMITATION</th><th>ACTIVITY</th><th>CFDA</th><th>OBJECT CLASS</th><th>AMOUNT</th></tr></thead><tbody><tr><td>0102M</td><td>2008</td><td>2009</td><td>ES000000</td><td>B</td><td>FM2</td><td>000</td><td>041</td><td>4101C</td><td>\$527,020.00</td></tr></tbody></table>			FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT	0102M	2008	2009	ES000000	B	FM2	000	041	4101C	\$527,020.00
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U.S. Department of Education  
Washington, D.C. 20202

## GRANT AWARD NOTIFICATION

10

PR/AWARD NUMBER: S041C090037

RECIPIENT NAME: Alaska State Department of Education

### TERMS AND CONDITIONS

- (1) THE FOLLOWING ITEMS ARE INCORPORATED IN THE GRANT AGREEMENT:
- (1) THE RECIPIENT'S APPLICATION (BLOCK 2),
  - (2) THE APPLICABLE EDUCATION DEPARTMENT REGULATIONS (BLOCK 8), AND
  - (3) THE SPECIAL TERMS AND CONDITIONS SHOWN AS ATTACHMENTS (BLOCK 8).

IN ACCORDANCE WITH 34 CFR 74.25(c)(2), OR 34 CFR 80.30(d)(3) CHANGES TO KEY PERSONNEL IDENTIFIED IN BLOCK 4 MUST RECEIVE PRIOR APPROVAL FROM THE DEPARTMENT.

THE RECIPIENT IS REQUIRED TO SUBMIT ALL NECESSARY REPORTS TO THE DEPARTMENT OF EDUCATION WITHIN 90 DAYS AFTER THE END OF FEDERAL SUPPORT (BLOCK 6).

AUTHORIZING OFFICIAL

JUL 30 2009

DATE





U.S. Department of Education  
Washington, D.C. 20202

## GRANT AWARD NOTIFICATION

<b>1</b>	<b>RECIPIENT NAME:</b> Alaska State Department of Education P.O. Box 110500 Juneau, AK 99811 - 0500	<b>5</b>	<b>AWARD INFORMATION</b> PR/AWARD NUMBER S041C090043 ACTION NUMBER 01 ACTION TYPE New AWARD TYPE Discretionary																				
<b>2</b>	<b>PROJECT TITLE</b> 84.041C IMPACT AID PROGRAM, DISCRETIONARY CONSTRUCTION PROGRAM	<b>6</b>	<b>AWARD PERIODS</b> BUDGET PERIOD 08/01/2009 - 01/31/2010 PERFORMANCE PERIOD 08/01/2009 - 01/31/2010																				
<b>3</b>	<b>PROJECT STAFF</b>  <b>RECIPIENT PROJECT DIRECTOR</b> Sam S. Kito III (907) 465 - 6906  <b>EDUCATION PROGRAM CONTACT</b> Kristen J. Walls-Rivas (202) 260 - 1357  <b>EDUCATION PAYMENT CONTACT</b> GAPS PAYEE HOTLINE (888) 336 - 8930	<b>7</b>	<b>AUTHORIZED FUNDING</b>  THIS ACTION \$176,634.00 BUDGET PERIOD \$176,634.00 PERFORMANCE PERIOD \$176,634.00																				
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U.S. Department of Education  
Washington, D.C. 20202

## GRANT AWARD NOTIFICATION

10

PR/AWARD NUMBER: S041C090043

RECIPIENT NAME: Alaska State Department of Education

### TERMS AND CONDITIONS

- (1) THE FOLLOWING ITEMS ARE INCORPORATED IN THE GRANT AGREEMENT:
- (1) THE RECIPIENT'S APPLICATION (BLOCK 2),
  - (2) THE APPLICABLE EDUCATION DEPARTMENT REGULATIONS (BLOCK 8), AND
  - (3) THE SPECIAL TERMS AND CONDITIONS SHOWN AS ATTACHMENTS (BLOCK 8).

IN ACCORDANCE WITH 34 CFR 74.25(c)(2), OR 34 CFR 80.30(d)(3) CHANGES TO KEY PERSONNEL IDENTIFIED IN BLOCK 4 MUST RECEIVE PRIOR APPROVAL FROM THE DEPARTMENT.

THE RECIPIENT IS REQUIRED TO SUBMIT ALL NECESSARY REPORTS TO THE DEPARTMENT OF EDUCATION WITHIN 90 DAYS AFTER THE END OF FEDERAL SUPPORT (BLOCK 6).

AUTHORIZING OFFICIAL

JUL 30 2009

DATE

**Department of Health and Social Services  
Division of Public Health  
Preparedness Program Component**

<b>Subject of RPL:</b> H1N1 Disaster Preparedness	<b>ADN/RPL #:</b> 06-00-0133
<b>Amount requested:</b> \$ 7,550,000	<b>Appropriation Authority:</b> Ch12 SLA 2009 Sec 1 pg 23 ln 32
<b>Funding source:</b> Federal - 100% Operating	<b>Statutory Authority:</b> AS 44.29.010 - 44.29.027

*PURPOSE*

The Department of Health and Social Services, Division of Public Health Preparedness Section requests an additional \$7,550,000 of federal authorization for new federal grant awards to help combat the H1N1 pandemic flu virus. The funds will be used to support the H1N1 vaccination program including short-term staff; vaccine shipping, tracking and delivery; mass vaccination clinics; laboratory testing; and supplies for administering the vaccines. The Division of Public Health has received notice of the awards from the US Centers for Disease Control and the US Department of Health and Human Services, Assistant Secretary for Preparedness and Response (ASPR).

**Legislative Fiscal Analyst Comment: If approved, the Preparedness Program allocation would have \$12,050.8 in federal receipts available in FY 2010 (the FY 2010 budget includes \$4,500.8 in federal receipts). The Committee may be interested in knowing what resources (funding and number of positions) are currently targeted at an H1N1 vaccination program and how this RPL will affect the cost of vaccinations (to individuals) in various regions of the state.**

*PREVIOUS LEGISLATIVE CONSIDERATION*

During the last legislative session, this funding was not considered because the extent of this pandemic flu outbreak was not yet known. No previous RPL's for this purpose have been considered to date.

*TIMING ISSUES*

This federal receipt authority is not included in the authorized budget for the Division of Public Health because it was not known or anticipated during the last budget cycle that the H1N1 flu would reach pandemic proportions, nor that these federal funds would be granted to the Division to combat this flu virus. The grant awards are available for expenditure now. This federal authorization is needed now since we anticipate a significant increase to the number of people that come down with the H1N1 flu virus starting in September and October of 2009. The consequence of delay or disapproval of this RPL is a potentially higher number of Alaskans who contract this flu virus and a potentially greater severity (up to and including death) of their illness.

*BUDGETARY ISSUES*

These funds will be used to support the H1N1 vaccination program as stated above. These funds will also support additional surveillance and laboratory testing of viral specimens so that we can have an accurate picture of influenza in the state. Additional costs are projected to occur in the personal services, travel, contractual services, and supplies lines where funds will be used to hire staff, pay travel costs and purchase other items necessary to combat this flu outbreak. Funds will also be granted out to state partner agencies (*e.g.*, hospitals) to help them protect their workforce and patients from the H1N1 flu virus.

These federal funds will be used to hire non-permanent staff (mostly in Anchorage) to help manage and coordinate efforts throughout the state for response to this flu virus and on a contingency basis to transfer up to 100 existing staff throughout the Public Health division to the Preparedness Program. The Division of Public Health anticipates a need to establish and hire 7 short-term, non-permanent employees to adequately manage these federal grant funds. One Range 17 Public Information Officer will perform duties including writing, editing and communications planning for DHSS response to H1N1 influenza through the Emergency Operations Center and Joint information Center. One Range 16 Health Program Associate or Project Assistant position will perform duties including assisting VakTrAK support staff with healthcare provider and facility recruitment, enrollment and training in the tracking database; the tracking database is vital due to the requirement for two shots of H1N1 vaccine. Five Office Assistant III positions will perform duties including data entry for vaccines given that will assure inventory management and vaccine shipping as well as answering help desk calls related to vaccine tracking.

The anticipated line item breakdown of the funds is as follows:

<b>Line item</b>	<b>Amount</b>	<b>What is being purchased</b>
Personal Services	\$1,176.9	Seven short-term non-perm positions: 1 Public Information Officer (Range 17); 1 Health Program Associate or Project Assistant (Range 16); 5 Office Assistant III's (Range 11). Federal authority for existing staff transferred from within the division.
Travel	20.3	Travel for staff to administer vaccines in out-lying areas
Contractual	4,167.3	Laboratory testing; additional disease surveillance; shipping and delivery of vaccines
Supplies	465.4	Supplies needed to administer the vaccines such as needles, gowns, masks, gloves, etc.
Grants	1,720.1	Grants to partner agencies to administer vaccines, thus helping them protect workforce and patients
<b>Total</b>	<b>\$7,550.0</b>	

Agency Contact: Alison Elgee, (907) 465-1630

Legislative Finance Contact: Gary Zepp, (907) 465-5410

The Division of Public Health has been spending its current authorization of federal funds to gear up for this flu outbreak. This \$7,550.0 RPL request is for fiscal year 2010 only. Increased federal authority will be necessary for three to five years, based on the grant awards as well as on similar funding provided for avian flu. Public Health anticipates that all federal grant funds awarded to combat the H1N1 flu virus will be spent by 6/30/2015. Additional federal authority for these grants will be requested in future budget requests.

There should be no impact to general funds or other funds as a result of receiving these federal grants. There may be a supplemental need for general fund if eligible expenditures exceed federal awards or there are ineligible expenditures.

***Legislative Fiscal Analyst Comment:* The Committee may want to ask if GF will be freed up when (and if) 100 employees are transferred from current duties to work on the H1N1 flu outbreak. If so, will a supplemental reducing general fund authorization be requested?**

**Office of the Governor for the  
Department of Commerce, Community and Economic Development  
Regulatory Commission of Alaska**

<b>Subject of RPL:</b> ARRA State Electricity Regulators Assistance Program	<b>ADN/RPL #:</b> 08-00-0067
<b>Amount requested:</b> \$767,493	<b>Appropriation Authority:</b> Sec 4, Ch 17, SLA 2009, page 7, lines 25-30
<b>Funding source:</b> Federal ARRA - Capital	<b>Statutory Authority:</b> AS 42.05.141

**Legislative Fiscal Analyst Recommendation:** Attach this funding to RCA's operating appropriation (Sec. 1, Ch 12, SLA 2009, page 8, lines 17-20) instead of the cited \$1 million generic capital project housed in the Office of the Governor. Although this supplemental funding is intended to offset costs of the operating workload associated with ARRA-funded energy projects, use of the funding is not limited to specific capital projects. If the Committee chooses to approve the request as an operating budget item, the Committee may want to reduce the RPL to the amount needed between January 1, 2010 and June 30, 2010 (estimated to be \$96,000). The Department will then be expected to request operating budget increments for the amount needed in the FY11 budget and beyond.

#### **PURPOSE**

The American Recovery and Reinvestment Act of 2009 (ARRA) included an initiative designed to assist state regulatory commissions perform their regulatory responsibilities with regard to ARRA electricity-related activities and investments. The initiative (titled the *State Electricity Regulators Assistance Program*) provided funding to increase state regulatory staff to facilitate timely consideration through appropriate regulatory processes of ARRA electricity-related activities and investments. Stated objectives of the *State Electricity Regulators Assistance Program* initiative were to 1) help state regulatory commissions better manage the increase in dockets and other regulatory actions expected to result from ARRA electricity-related activities; 2) facilitate timely consideration by state commissions of ARRA electricity-related investments; and 3) create jobs.

#### **PREVIOUS LEGISLATIVE CONSIDERATION**

The finance committees have not previously considered this activity nor have there been any prior RPL requests.

#### **TIMING ISSUES**

After the announcement of funding availability on 6/15/2009, the Regulatory Commission of Alaska (RCA) submitted an application under the *State Electricity Regulators Assistance Program*. The application was submitted prior to the 8/31/2009 deadline, but the grant

Agency Contact: Rich Gazaway, RCA (907) 263-2164

JoEllen Hanrahan, Administrative Services (907) 465-2506

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

award has not been announced. The RCA anticipates executing the grant agreement before 12/31/2009.

***Legislative Finance Clarification:* Although the above paragraph states that the grant award has not been announced, according to RCA, the funding *is* available and has been set aside for commissions.**

## **BUDGETARY ISSUES**

The RCA requested the full allocation for the State of Alaska allowed under the *State Electricity Regulators Assistance Program* (\$767,493) to offset the costs of the two temporary full-time professional positions necessary to address the increased workload resulting from the electricity-related topical areas stimulated by the ARRA. With the grant funding, the RCA will hire a Utility Engineering Analyst IV (Range 22) and a Utility Financial Analyst III (Range 21). The positions would be employed on a temporary basis that coincides with the four-year period in which the federal grant funding would be provided. The RCA anticipates that funding will be available 1/1/2010 and will expire on 12/31/2013. The federal grant funding would cover the majority of the compensation and expenses for the two positions, with the residual amount (\$87,707) paid out of the RCA's regulatory Cost Charges (RCCs).

***Legislative Fiscal Analyst Comment:* If funding is not approved, the RCA must use existing positions to absorb the additional workload generated by the ARRA's electricity-related projects.**

No General Fund appropriation will be necessary should this RPL be approved. Expenses that are not covered by the federal grant will be recovered through Regulatory Cost Charges, a mechanism that allows the RCA to recover its operating expenses through an assessment on the revenues of regulated utilities and pipeline carriers. The amount of funding through RCCs (\$87,707 over four years) will be included in the RCA's annual budget and submitted for legislative approval on an annual basis.

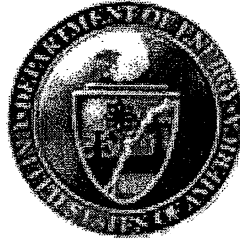
***Legislative Fiscal Analyst Comment:* Although RCA states that it intends to recover the \$87.7 by increasing regulatory cost charges (RCCs) to utilities, RCA is currently at the maximum it can statutorily charge utilities under AS 42.05.254—about \$7.2 million. With an FY10 budget of about \$8.2 million and revenue of \$7.2 million, RCA faces a budget crisis: RCA is rapidly exhausting carryforward reserves and will have to either 1) increase the statutory cap on regulatory charges or 2) reduce expenses. Existing RCCs do not appear to be sufficient to continue the current level of expenditures, let alone fund these additional positions.**

Agency Contact: Rich Gazaway, RCA (907) 263-2164

JoEllen Hanrahan, Administrative Services (907) 465-2506

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

# **FINANCIAL ASSISTANCE FUNDING OPPORTUNITY ANNOUNCEMENT**



**U. S. Department of Energy**

**National Energy Technology Laboratory**

**Recovery Act – State Electricity Regulators Assistance**

**Funding Opportunity Number: DE-FOA-0000100**

**Announcement Type: Amendment 000002**

**CFDA Number: 81.122**

<b>Issue Date:</b>	<b>07/14/2009</b>
<b>Letter of Intent Due Date:</b>	<b>Not Applicable</b>
<b>Pre-Application Due Date</b>	<b>Not Applicable</b>
<b>Application Due Date:</b>	<b>08/31/2009 at 3:00:00 PM Eastern Time</b>

The purpose of this Amendment is to make an administrative modification to update the language located in Part I – Funding Opportunity Description, Section B – Description of Funding Opportunity and Part IV – Application and Submission Information, Section C – Content and Form of Application. The updated sections are highlighted in yellow.



/

## **APPENDICES/REFERENCE MATERIAL**

- Attachment A – Proposed Fund Allocation
- Attachment B – Reporting Requirements Checklist
- Attachment C – Project Management Plan Template

## ATTACHMENT A

### Proposed Fund Allocation for Recovery Act – State Electricity Regulators Assistance

The formula for allocating the \$46,000,000 is comprised of a base allocation (\$38,250,000), with the balance (\$7,750,000) distributed based on population according to the 2008 U.S. Census data.

States, Territories and District of Columbia	Population (according to the 2008 U.S. Census data)	Percent of U.S. Population	Funding Based on Population	Funding Base	Total Funding
Alabama	4,661,900	1.53%	\$ 118,824	\$ 750,000	\$ 868,824
Alaska	686,293	0.23%	\$ 17,493	\$ 750,000	\$ 767,493
Arizona	6,500,180	2.14%	\$ 165,679	\$ 750,000	\$ 915,679
Arkansas	2,855,390	0.94%	\$ 72,779	\$ 750,000	\$ 822,779
California	36,756,666	12.09%	\$ 936,869	\$ 750,000	\$ 1,686,869
Colorado	4,939,456	1.62%	\$ 125,899	\$ 750,000	\$ 875,899
Connecticut	3,501,252	1.15%	\$ 89,241	\$ 750,000	\$ 839,241
Delaware	873,092	0.29%	\$ 22,254	\$ 750,000	\$ 772,254
District of Columbia	591,833	0.19%	\$ 15,085	\$ 750,000	\$ 765,085
Florida	18,328,340	6.03%	\$ 467,160	\$ 750,000	\$ 1,217,160
Georgia	9,685,744	3.19%	\$ 246,874	\$ 750,000	\$ 996,874
Hawaii	1,288,198	0.42%	\$ 32,834	\$ 750,000	\$ 782,834
Idaho	1,523,816	0.50%	\$ 38,840	\$ 750,000	\$ 788,840
Illinois	12,901,563	4.24%	\$ 328,840	\$ 750,000	\$ 1,078,840
Indiana	6,376,792	2.10%	\$ 162,534	\$ 750,000	\$ 912,534
Iowa	3,002,555	0.99%	\$ 76,530	\$ 750,000	\$ 826,530
Kansas	2,802,134	0.92%	\$ 71,422	\$ 750,000	\$ 821,422
Kentucky	4,269,245	1.40%	\$ 108,816	\$ 750,000	\$ 858,816
Louisiana	4,410,796	1.45%	\$ 112,424	\$ 750,000	\$ 862,424
Maine	1,316,456	0.43%	\$ 33,554	\$ 750,000	\$ 783,554
Maryland	5,633,597	1.85%	\$ 143,591	\$ 750,000	\$ 893,591
Massachusetts	6,497,967	2.14%	\$ 165,623	\$ 750,000	\$ 915,623
Michigan	10,003,422	3.29%	\$ 254,971	\$ 750,000	\$ 1,004,971
Minnesota	5,220,393	1.72%	\$ 133,060	\$ 750,000	\$ 883,060
Mississippi	2,938,618	0.97%	\$ 74,901	\$ 750,000	\$ 824,901
Missouri	5,911,605	1.94%	\$ 150,677	\$ 750,000	\$ 900,677
Montana	967,440	0.32%	\$ 24,659	\$ 750,000	\$ 774,659
Nebraska	1,783,432	0.59%	\$ 45,457	\$ 750,000	\$ 795,457
Nevada	2,600,167	0.86%	\$ 66,274	\$ 750,000	\$ 816,274
New Hampshire	1,315,809	0.43%	\$ 33,538	\$ 750,000	\$ 783,538
New Jersey	8,682,661	2.86%	\$ 221,307	\$ 750,000	\$ 971,307
New Mexico	1,984,356	0.65%	\$ 50,578	\$ 750,000	\$ 800,578
New York	19,490,297	6.41%	\$ 496,777	\$ 750,000	\$ 1,246,777
North Carolina	9,222,414	3.03%	\$ 235,065	\$ 750,000	\$ 985,065
North Dakota	641,481	0.21%	\$ 16,350	\$ 750,000	\$ 766,350
Ohio	11,485,910	3.78%	\$ 292,758	\$ 750,000	\$ 1,042,758
Oklahoma	3,642,361	1.20%	\$ 92,838	\$ 750,000	\$ 842,838
Oregon	3,790,060	1.25%	\$ 96,603	\$ 750,000	\$ 846,603

## University of Alaska

Subject of RPL Combined request for ARRA Funding	ADN/RPL #: 45-00-1134
Amount Requested: \$2,849,782	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

### PURPOSE

The requested federal stimulus receipt authority will allow the University of Alaska to accept the following awards:

NSF-through the University of Washington: Bering Sea Retrospective: Seabirds At-Sea as Indicators of Spatial Variability and Temporal Change in the amount of \$23,955 for the period 09/01/2009 through 08/31/2011, award ACR-0908262

NIH: Investigating Obesity and Chronic Disease-Related Risk Factors in Alaska Natives in the amount of \$583,071 for the period 8/31/2009 through 8/30/2011, award 16430-08S1.

NIH: Investigating Obesity and Chronic Disease-Related Risk Factors in Alaska Natives in the amount of \$957,627 for the period 9/01/2009 through 8/31/2011, award 16430-08S2.

NSF: REU Site in Marine and Coastal Ecology in Alaska in the amount of \$308,763 for the period 9/1/2009 through 8/31/2012, award DBI-0852111.

NSF: Collaborative research Understanding the role of environmental change on the long-term population dynamics of one surviving and two extinct arctic mammals in the amount of \$41,135 for the period 8/01/2009 through 7/31/2012, award ARC-0909527.

NIH: Alaska INBRE-2: Environmental Agents and Disease in the amount of \$600,000 for the period 8/29/2009 through 8/28/2011, award 16466-09S1.

NIH: Novel, subtype selective potentiators of nicotinic acetylcholine receptors in the amount of \$335,231 for the period of 9/15/2009 through 8/31/2011, award 66059-01.

Agency Contact: Michelle Rizk, (907) 450-8187

Legislative Finance Contact: Danith Watts, (907) 465-5435

### **PREVIOUS LEGISLATIVE CONSIDERATION**

The projects were not previously considered. They are new multi-year federal awards received after August 28, 2009 and have not been requested as part of the University's budget.

### **TIMING ISSUES**

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority was not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009.

### **BUDGETARY ISSUES**

These projects are directly aligned with the University of Alaska's long term plans and missions for the University of Alaska Fairbanks: "The University of Alaska Fairbanks, the nation's northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America's Arctic University – promotes academic excellence, student success and lifelong learning", and the University of Alaska Southeast: "The University of Alaska Southeast is an open enrollment, public university that provides postsecondary education for a diverse student body. UAS promotes student achievement and faculty scholarship, lifelong learning opportunities, and quality academic programs."

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended during the period FY10 through FY15. This request adds an additional \$2,849,782 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

Copies of the award documents and budgets for each project are attached.

***Legislative Fiscal Analyst Comment: This RPL requests approval to spend additional stimulus funds received through a competitive process. No stimulus funds will be diverted from other Alaska projects and no general funds are required.***

***This RPL reflects the addition of seven grant awards totaling \$2,849,782. A request to amend the amount to reflect additional grant awards is anticipated.***

<b>ARRA Award #</b>	<b>Title</b>	<b>Agency</b>	<b>Campus</b>	<b>Amount</b>	<b>Start Date</b>	<b>End Date</b>
ARC-0908262	Bering Sea Retrospective: Seabirds At-Sea as Indicators of Spatial Variability and Temporal Change	NSF through the U of Washingt on	UAF	23,955	9/1/2009	8/31/2011
16430-08S1	Investigating Obesity and Chronic Disease-Related Risk Factors in Alaska Natives	NIH	UAF	583,071	8/31/2009	8/30/2011
16430-08S2	Investigating Obesity and Chronic Disease-Related Risk Factors in Alaska Natives	NIH	UAF	957,627	9/1/2009	8/31/2011
DBI-0852111	REU Site in Marine and Coastal Ecology in Alaska	NSF	UAS	308,763	9/1/2009	8/31/2012
ARC-0909527	Collaborative research Understanding the role of environmental change on the long-term population dynamics of one surviving and two extinct arctic mammals	NSF	UAF	41,135	8/1/2009	7/31/2012
16466-09S1	Alaska INBRE-2: Environmental Agents and Disease	NIH	UAF	600,000	8/29/2009	8/28/2011
66059-01	Novel, subtype selective potentiators of nicotinic acetylcholine receptors	NIH	UAF	335,231	9/15/2009	8/31/2011
				2,849,782		

Michelle Rizk, Associate VP  
Budget  
(907) 450-8180  
(907) 450-8181 fax  
Michelle.rizk@alaska.edu



Office of Planning & Budget  
SW Administration & Finance  
PO BOX 755260  
910 Yukon Drive Ste. 108  
Fairbanks, AK 99775-5260

September 11, 2009

Steve Hildebrand  
Chief Budget Analyst  
P.O. Box 110020  
Juneau, Alaska 99811

Dear Mr. Hildebrand,

The University of Alaska has received 7 stimulus awards totaling \$2.8 million that are pending approval of stimulus authority from the LB&A Committee before work may begin (see attached spreadsheet). UA is requesting to be able to amend the RPL to include additional grants that may be received between now and the September 28<sup>th</sup> LB&A Meeting.

Included within the RPL packet are the award documents for each of the 7 projects. Please let me know if additional information is necessary.

Sincerely,



Michelle Rizk

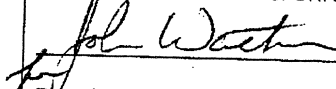
## ARRA Research Subaward Agreement

Institution/Organization ("UNIVERSITY")		Institution/Organization ("COLLABORATOR")	
Name: University of Washington Address: Purchasing Services 3917 University Way NE Seattle, WA 98105		Name: University of Alaska, Fairbanks Address: Office of Sponsored Programs 3352 College Rd # A Fairbanks, AK 99709	
Prime Award No. ARC-0908262		Subaward No. 657596Z	
Awarding Agency NSF		CFDA No. 47.082	
Subaward Period of Performance 09/01/09-08/31/11		Amount Funded this Action \$23,955	
Project Title "Bering Sea Retrospective: Seabirds At-Sea as Indicators of Spatial Variability and Temporal Change."			
Reporting Requirements [Check here if applicable: (x) See Attachment 4]			

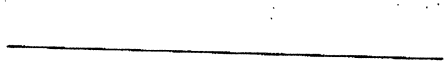
## Terms and Conditions

- 1) University hereby awards a cost reimbursable subaward, as described above, to Collaborator. The statement of work and budget for this subaward are (check one): (x) as specified in Collaborator's proposal dated 11/07/08; or ( ) as shown in Attachment 5. In its performance of subaward work, Collaborator shall be an independent entity and not an employee or agent of University.
- 2) University shall reimburse Collaborator not more often than monthly for allowable costs. All invoices shall be submitted using Collaborator's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference University's subaward number shall be returned to Collaborator.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachment 3.
- 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to University's Financial Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Collaborator's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Collaborator.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Project Director, as shown in Attachment 3. Technical reports are required as shown above, "Reporting Requirements."
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
- 8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. University shall pay Collaborator for termination costs as allowable under OMB Circular A-21, A-122 or 45 CFR Part 74, Appendix E, as applicable.
- 9) No-cost extensions require the approval of the University. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Collaborator makes the certifications and assurances shown in Attachments 1 and 2. Collaborator also assures that it will comply with applicable statutory and regulatory requirements specified in Appendix B of the FDP Operating Procedures found at: [http://www.nsf.gov/home/grants/grants\\_fdp.htm](http://www.nsf.gov/home/grants/grants_fdp.htm).

By an Authorized Official of UNIVERSITY:

  
 Dennis Gawlik, Director, Purchasing  
 Services

By an Authorized Official of COLLABORATOR:



**Attachment 1**  
**ARRA Research Subaward Agreement**

By signing the Subaward Agreement, the authorized official of COLLABORATOR certifies, to the best of his/her knowledge and belief, that:

**Certification Regarding Lobbying**

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Collaborator, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the University.

3) The Collaborator shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Debarment, Suspension, and Other Responsibility Matters**

Collaborator certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

**OMB Circular A-133 Assurance**

Collaborator assures University that it complies with A-133 and that it will notify University of completion of required audits and of any adverse findings which impact this subaward.



## Attachment 2

### ARRA Research Subaward Agreement

### NSF

#### Certifications/Assurances

1. By signing this Research Subaward Agreement Collaborator makes the certifications and assurances specified in the Research Terms and Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rtr/appc.pdf>

#### General terms and conditions as of the effective date of this Research Subaward Agreement:

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. OMB Circular A-110 or 45 CFR Part 602 as applicable.
3. The Proposal and Award Policies and Procedures Guide, including addenda in effect as of the beginning date of the period of performance.
4. Research Terms and Conditions found at < <http://www.nsf.gov/bfa/dias/policy/rtr/terms.pdf> > and Agency Specific Requirements found at < [http://www.nsf.gov/pubs/policydocs/rtr/nsf\\_708.pdf](http://www.nsf.gov/pubs/policydocs/rtr/nsf_708.pdf) >, except for the following:
  - a. The right to initiate an automatic one-time extension of the end date provided by Article 25(c)(2) is replaced by the need to obtain prior written approval from the University;
  - b. The payment mechanism described in Article 22 and the financial reporting requirements in Article 52 of the Research Terms and Conditions and Article 9 of the Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this agreement; and
  - c. Any prior approvals are to be sought from the University and not the Federal Awarding Agency.
5. Title to equipment that is purchased or fabricated with research funds or Collaborator cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Collaborator upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in Article 34(a) of the Research Terms and Conditions.
6. Treatment of Program Income: Contact the University's Administrative Contact in Attachment 3 for guidance and determination of method to use, consistent with the Prime Award.

#### Special terms and conditions:

1. Copyrights - Collaborator grants to University an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet University's obligations to the Federal Government under its Prime Award.
2. Data Rights - Collaborator grants to University the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet University's obligations to the Federal Government under its Prime Award.
3. "This Subaward may be terminated by either party upon thirty (30) days written notice to the other party. In the event of termination, University shall pay Collaborator for all reasonable, allocable and allowable costs incurred up to the effective date of termination, including all non-cancelable commitments, not to exceed the total amount of this Subaward. Upon receipt of notice from one party to the other party, Collaborator shall take reasonable steps to immediately reduce all costs and outstanding obligations under this Subaward."
4. The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to this Subaward and are by reference incorporated herein.

**Article 1. National Science Foundation American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) Award Term**

- (a) This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5). Unless otherwise specified, ARRA funding should be considered one-time funding.
- (b) Recipients must comply with standard NSF award conditions (Research Terms and Conditions or Grant General Conditions, as applicable) as well as the requirements set forth in ARRA, including, but not limited to, the reporting requirements specified in the award term entitled, "*Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5*", as well as the accompanying OMB guidance (available on the Recovery.gov website.) Failure to submit timely reports may result in NSF taking administrative action, including disallowance of costs or the suspension or termination of the award.
- (c) Recipients of ARRA funds are reminded that such funds must be separately tracked and monitored independently from any non-ARRA funding.
- (d) Recipients of ARRA funds are reminded that ARRA-related terms and conditions are required to be incorporated into any subrecipient agreements, as appropriate.
- (e) NSF will monitor ARRA funds, and, if, after 12 months, no allowable expenditures have been incurred, NSF may consider reducing or terminating the award and reallocating the funds.

**(End of award term)**

**Article 2. Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)**

- (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 **five** calendar days after each calendar quarter (4/5, 7/5, 10/5, 1/5) 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 (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 (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

**(End of award term)**

**Article 3. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients**

- (a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215, subpart \_\_\_\_ 21 "Uniform Administrative Requirements for Grants and Agreements" and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.
- (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. This shall be accomplished by identifying expenditures for Federal awards made under 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 sub-award 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 sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards 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

**(End of award term)**

**Article 4. Protecting State and Local Government and Contractor Whistleblowers**

under Section 1553 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)

This article contains ARRA's statutory provisions prohibiting non-Federal employers receiving covered funds from taking actions against employees in reprisal for whistleblowing. Please note, that, pursuant to section (e), any employer receiving covered funds must post notice of the rights and remedies outlined in this award term.

**(a) PROHIBITION OF REPRISALS.**—An employee of any non-Federal employer receiving covered funds 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 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 such other person working for the employer who has the authority to investigate, discover, or terminate misconduct), a court or grand jury, the head of a Federal agency, or their representatives, information that the employee reasonably believes is evidence of—

- (1) gross mismanagement of an agency contract or grant relating to covered funds;
- (2) a gross waste of covered funds;
- (3) a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- (4) an abuse of authority related to the implementation or use of covered funds; or
- (5) a 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.

**(b) INVESTIGATION OF COMPLAINTS.**—

(1) **IN GENERAL.**—A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint regarding the reprisal to the appropriate inspector general. Except as provided under paragraph (3), unless the inspector general determines that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint, the inspector general shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the person's employer, the head of the appropriate agency, and the Board.

**(2) TIME LIMITATIONS FOR ACTIONS.**—

(A) **IN GENERAL.**—Except as provided under subparagraph (B), the inspector general shall, not later than 180 days after receiving a complaint under paragraph (1)—

- (i) make a determination that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint; or
- (ii) submit a report under paragraph (1).

**(B) EXTENSIONS.**—

(i) **VOLUNTARY EXTENSION AGREED TO BETWEEN INSPECTOR GENERAL AND COMPLAINANT.**—If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A) and the person submitting the complaint agrees to an extension of time, the inspector general shall submit a report under paragraph (1) within such additional period of time as shall be agreed upon between the inspector general and the person submitting the complaint.

(ii) **EXTENSION GRANTED BY INSPECTOR GENERAL.**—

If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A), the inspector general may extend the period for not more than 180 days without agreeing with the person submitting the complaint to such extension, provided that the inspector general provides a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for the decision, which shall be provided to both the person submitting the complaint and the non-Federal employer.

(iii) **SEMI-ANNUAL REPORT ON EXTENSIONS.**—The inspector general shall include in semi-annual reports to Congress a list of those investigations for which the inspector general received an extension.

**(3) DISCRETION NOT TO INVESTIGATE COMPLAINTS.**—

(A) **IN GENERAL.**—The inspector general may decide not to conduct or continue an investigation under this section upon providing to the person submitting the complaint and the non-Federal employer a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for such decision.

(B) ASSUMPTION OF RIGHTS TO CIVIL REMEDY.—Upon receipt of an explanation of a decision not to conduct or continue an investigation under subparagraph (A), the person submitting a complaint shall immediately assume the right to a civil remedy under subsection (c)(3) as if the 210-day period specified under such subsection has already passed.

(C) SEMI-ANNUAL REPORT.—The inspector general shall include in semi-annual reports to Congress a list of those investigations the inspector general decided not to conduct or continue under this paragraph.

**(4) ACCESS TO INVESTIGATIVE FILE OF INSPECTOR GENERAL.—**

(A) IN GENERAL.—The person alleging a reprisal under this section shall have access to the investigation file of the appropriate inspector general in accordance with section 552a of title 5, United States Code (commonly referred to as the "Privacy Act"). The investigation of the inspector general shall be deemed closed for purposes of disclosure under such section when an employee files an appeal to an agency head or a court of competent jurisdiction.

(B) CIVIL ACTION.—In the event the person alleging the reprisal brings suit under subsection (c)(3), the person alleging the reprisal and the non-Federal employer shall have access to the investigative file of the inspector general in accordance with the Privacy Act.

(C) EXCEPTION.—The inspector general may exclude from disclosure—

(i) information protected from disclosure by a provision of law; and (ii) any additional information the inspector general determines disclosure of which would impede a continuing investigation, provided that such information is disclosed once such disclosure would no longer impede such investigation, unless the inspector general determines that disclosure of law enforcement techniques, procedures, or information could reasonably be expected to risk circumvention of the law or disclose the identity of a confidential source.

(5) PRIVACY OF INFORMATION.—An inspector general investigating an alleged reprisal under this section may not respond to any inquiry or disclose any information from or about any person alleging such reprisal, except in accordance with the provisions of section 552a of title 5, United States Code, or as required by any other applicable Federal law.

**(c) REMEDY AND ENFORCEMENT AUTHORITY.—**

**(1) BURDEN OF PROOF.—**

**(A) DISCLOSURE AS CONTRIBUTING FACTOR IN REPRISAL.—**

(i) IN GENERAL.—A person alleging a reprisal under this section shall be deemed to have affirmatively established the occurrence of the reprisal if the person demonstrates that a disclosure described in subsection (a) was a contributing factor in the reprisal.

(ii) USE OF CIRCUMSTANTIAL EVIDENCE.—A disclosure may be demonstrated as a contributing factor in a reprisal for purposes of this paragraph by circumstantial evidence, including—

(I) evidence that the official undertaking the reprisal knew of the disclosure; or

(II) evidence that the reprisal occurred within a period of time after the disclosure such that a reasonable person could conclude that the disclosure was a contributing factor in the reprisal.

(B) OPPORTUNITY FOR REBUTTAL.—The head of an agency may not find the occurrence of a reprisal with respect to a reprisal that is affirmatively established under subparagraph (A) if the non-Federal employer demonstrates by clear and convincing evidence that the non-Federal employer would have taken the action constituting the reprisal in the absence of the disclosure.

(2) AGENCY ACTION.—Not later than 30 days after receiving an inspector general report under subsection (b), the head of the agency concerned shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief in whole or in part or shall take 1 or more of the following actions:

(A) Order the employer to take affirmative action to abate the reprisal.

(B) Order the employer to reinstate the person to the position that the person held before the reprisal, together with the 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.

(C) Order the employer to pay the complainant 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 complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the agency or a court of competent jurisdiction.

(3) CIVIL ACTION.—If the head of an agency issues an order denying relief in whole or in part under paragraph (1), has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case of an extension of time under subsection (b)(2)(B)(i), within 30 days after the expiration of the extension of time, or decides under subsection (b)(3) not

to investigate or to discontinue an investigation, and there is no showing that such delay or decision is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the employer to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury.

**(4) JUDICIAL ENFORCEMENT OF ORDER.**—Whenever a person fails to comply with an order issued under paragraph (2), the head of the agency shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorneys' fees and costs.

**(5) JUDICIAL REVIEW.**—Any person adversely affected or aggrieved by an order issued under paragraph (2) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the agency. Review shall conform to chapter 7 of title 5, United States Code.

**(d) NONENFORCEABILITY OF CERTAIN PROVISIONS WAIVING RIGHTS AND REMEDIES OR REQUIRING ARBITRATION OF DISPUTES.—**

**(1) WAIVER OF RIGHTS AND REMEDIES.**—Except as provided under paragraph (3), the rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment, including by any predispute arbitration agreement.

**(2) PREDISPUTE ARBITRATION AGREEMENTS.**—Except as provided under paragraph (3), no predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising under this section.

**(3) EXCEPTION FOR COLLECTIVE BARGAINING AGREEMENTS.—**

Notwithstanding paragraphs (1) and (2), an arbitration provision in a collective bargaining agreement shall be enforceable as to disputes arising under the collective bargaining agreement.

**(e) REQUIREMENT TO POST NOTICE OF RIGHTS AND REMEDIES.—**

Any employer receiving covered funds shall post notice of the rights and remedies provided under this section.

**(f) RULES OF CONSTRUCTION.—**

**(1) NO IMPLIED AUTHORITY TO RETALIATE FOR NON-PROTECTED DISCLOSURES.**—Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

**(2) RELATIONSHIP TO STATE LAWS.**—Nothing in this section may be construed to preempt, preclude, or limit the protections provided for public or private employees under State whistleblower laws.

**(g) DEFINITIONS.—**In this section:

**(1) ABUSE OF AUTHORITY.**—The term "abuse of authority" means an arbitrary and capricious exercise of authority by a contracting official or employee that adversely affects the rights of any person, or that results in personal gain or advantage to the official or employee or to preferred other persons.

**(2) COVERED FUNDS.**—The term "covered funds" means any contract, grant, or other payment received by any non-Federal employer if—

(A) the Federal Government provides any portion of the money or property that is provided, requested, or demanded; and (B) at least some of the funds are appropriated or otherwise made available by this Act.

**(3) EMPLOYEE.**—The term "employee"—

(A) except as provided under subparagraph (B), means an individual performing services on behalf of an employer; and (B) does not include any Federal employee or member of the uniformed services (as that term is defined in section 101(a)(5) of title 10, United States Code).

**(4) NON-FEDERAL EMPLOYER.**—The term "non-Federal employer"—

(A) means any employer—

(i) with respect to covered funds—

(I) the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor and (II) any professional membership organization, certification or 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 (ii) 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 of the State or local government; and (B) does not mean any department, agency, or other entity of the Federal Government.

(5) STATE OR LOCAL GOVERNMENT.—The term "State or local government" means—

(A) the government of each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, or any other territory or possession of the United States; or (B) the government of any political subdivision of a government listed in subparagraph (A).

(6) BOARD — The term "Board" means the Recovery Accountability and Transparency Board, which was established in section 1521 of ARRA.

(End of award term)

#### Article 5. ARRA Provision 1604 Regarding Limit on Funds

a. Section 1604 of the Recovery Act specifies that: "None of the funds appropriated or otherwise made available in this Act 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."

b. In accordance with this ARRA provision, no awards may be made using ARRA funds to support any of these types of establishments and/or facilities. In addition, in the March 20, 2009 White House Memorandum, Subject: *Ensuring Responsible Spending of Recovery Act Funds*, President Obama noted that, to the extent permitted by law, agencies "shall not approve or otherwise support funding for projects that are similar to those described in section 1604 ..." The Memorandum did not elaborate on the types of projects that might be "similar" to those listed in section 1604. Thus, if an awardee plans to enter into a subaward arrangement with an establishment and/or facility that may be similar to those projects listed in section 1604, the expenditure of funds.

(End of award term)

#### Article 6. Referrals to the NSF Office of the Inspector General

The recipient (including any subrecipients of ARRA funds), shall promptly refer to the NSF Inspector General any credible evidence that a principal, employee, agent, contractor, subgrantee, 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 of interest, bribery, gratuity, or similar misconduct involving those funds.

(End of award term)

**Attachment 3  
ARRA Research Subaward Agreement**

University Contacts	Collaborator Contacts
<b>Administrative Contact</b>  Name: Michael J. Blackwell Address: Sponsored Programs Box 359472 University of Washington Seattle, WA 98195  Telephone: 206-543-4043 Fax: 206-685-1732 Email: mikeb@u.washington.edu	<b>Administrative Contact</b>  Name: Address:  Telephone: Fax: Email:
<b>Principal Investigator</b>  Name: Dr. George Hunt Address: Aquatic and Fishery Sciences Box# 355020 UW, Seattle, WA 98195  Telephone: Email: geohunt2@u.washington.edu	<b>Project Director</b>  Name: Dr. Kenneth Coyle Address:  Telephone: Fax: Email:
<b>Financial Contact</b>  Name: Customer Inquiries Address: Payables Administration 3917 University Way NE University of Washington Seattle, WA 98105  Telephone: 206-543-4500 Fax: 206-685-8018 Email: aphelp@u.washington.edu	<b>Financial Contact</b>  Name: Address:  Telephone: Fax: Email:
<b>Authorized Official</b>  Name: Dennis Gawlik Address: Purchasing Services 3917 University Way NE University of Washington Seattle, WA 98105  Telephone: 206-543-5823 Fax: 206-685-3686 Email: gawlikd@u.washington.edu	<b>Authorized Official</b>  Name: Address:  Telephone: Fax: Email:

Attachment 4  
ARRA Research Subaward Agreement Reporting

**Definition.** "Reporting" includes invoicing, financial reporting, and technical reporting.

**Invoicing.** Subrecipient must invoice the Prime Recipient in a timely manner as follows:

Monthly

**Amendment for Updated Reporting Requirements.** A unilateral amendment may be issued to update reporting requirements in response to any additional requirements or guidance from the OMB or Sponsor including, but not limited to, the definition of terms and data elements, and specific instructions for reporting and report formats.

**Compliance with the American Recovery and Reinvestment Act.** Subrecipient must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act.

**Responsibilities for Informing Sub-recipients.** If Subrecipient issues subawards under this agreement, Subrecipient agrees to separately identify to each subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any CFDA number assigned for ARRA purposes, and amount of ARRA funds. (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

**Delegation of Reporting in federalreporting.gov.** Prime Recipient hereby does NOT delegate ARRA quarterly reporting requirements to the Subrecipient.

Subrecipient shall submit quarterly ARRA reports to the Prime Recipient as follows.

In all cases, Prime Recipient reserves the rights delineated in 2 CFR 215.53 part E, to request additional detail from the Subrecipient as needed to comply with the terms and reporting requirements of the Prime award.

**Quarterly ARRA Reports to Prime Recipient**

Subrecipient shall submit ARRA reports quarterly, to the Administrative Contact listed on Attachment 3, due 4/5, 7/5, 10/5, and 1/5 for the duration of the Subaward. The Quarterly ARRA Reports shall contain the following:

**A. Subrecipient Type.**

Subrecipient shall disclose its entity type as identified in the CCR.

**B. Performance Site**

Subrecipient shall identify the physical location of the primary place of performance of the Subaward, if it differs from the CCR.



Attachment 4  
ARRA Research Subaward Agreement Reporting

(1) Street Address \_\_\_\_\_

(2) City, State, ZIP Code \_\_\_\_\_

(3) Congressional District \_\_\_\_\_

Subrecipient shall report any changes in performance site on the Quarterly ARRA Report.

C. Jobs Created and Retained

(1) A brief description of the types of jobs created and jobs retained in the United States and outlying areas. "Jobs or positions created" means those new positions created and filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding. "Jobs or positions retained" means those previously existing filled positions that are retained under Recovery Act funding. This description may rely on job titles, broader labor categories, or the contractor's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and

(2) An estimate of the number of jobs created and jobs retained in the United States and outlying areas. At a minimum, this estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by the recipient, and if known, by subrecipients. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all hours worked divided by the total number of hours in a full-time schedule, as defined by the recipient. For instance, two full-time employees and one part-time employee working half days would be reported as 2.5 FTE in each calendar quarter.

(3) A job cannot be reported as both created and retained.

D. Most Highly Compensated Officers

Subrecipient shall provide the names and total compensation of the five most highly compensated officers of the Subrecipient entity if the following items (1) and (2) apply.

If either item (1) or (2) does not apply, the Subrecipient's report shall include a statement certifying this.

If these items do apply, but there is no change in the most highly compensated individuals or their total compensation, the Subrecipient's report shall include a statement certifying this.

(1) The Subrecipient in its preceding fiscal year received—

(a) 80 percent or more of its annual gross revenues in Federal awards; and

(b) \$25,000,000 or more in annual gross revenues from Federal awards; and

## Attachment 4

## ARRA Research Subaward Agreement Reporting

(2) The public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986 [26 USC § 6104].

"Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of the following (for more information *see* 17 CFR 229.402(c)(2)):

- (i). Salary and bonus.
- (ii). Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R.
- (iii). Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv). Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v). Above-market earnings on deferred compensation which are not taxqualified.
- (vi). Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds \$10,000.

E. Technical Reporting.

Subrecipient will include a brief update on cumulative programmatic achievements, including significant deliverables or milestones reached, to the University.

F. Area of Benefit.

Subrecipient will note the geographical area(s) benefited by the project.

G. Vendor Numbers and Payments (if applicable)

Subrecipient must report the total number and total amount of payments to vendors less than \$25,000/award. Subrecipient shall report the vendor names and D-U-N-S numbers if available. If the D-U-N-S is not available, the Subrecipient shall report on the vendor names and zip codes of vendor headquarters.

H. Subaward Numbers and Payments to Individuals (if applicable)

Subrecipient must report the total number and amount of subawards to individuals.



THIS AWARD IS ISSUED UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 AND IS SUBJECT TO SPECIAL HHS TERMS AND CONDITIONS AS REFERENCED IN SECTION III

**Grant Number:** 3P20RR016430-08S1

**Principal Investigator(s):**  
Gerald Mohatt, MS

**Project Title:** Investigating Obesity and Chronic Disease-Related Risk Factors of Alaska Natives

MAGGIE GRISCAVAGE  
DIR, OFC OF GRANTS/CONTRACTS ADM  
UNIVERSITY OF ALASKA FAIRBANKS  
PO BOX 757880  
FAIRBANKS, AK 997757880

**Award e-mailed to:** fygrcon@uaf.edu

**Budget Period:** 08/31/2009 – 08/30/2011

**Project Period:** 08/31/2009 – 08/30/2011

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$583,071 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ALASKA FAIRBANKS in support of the above referenced project. This award is pursuant to the authority of 42 USC 299a 42 CFR 67, PL 101-239 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number P20RR016430 from the National Center For Research Resources. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Center For Research Resources or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors,

or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/loi/index.htm> provides additional information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Quadira R. Huff  
Grants Management Officer  
NATIONAL CENTER FOR RESEARCH RESOURCES

Additional information follows



this additional funding. Recipients should not include any information about the parent grant when responding to the quarterly reporting requirements.

Grantees are reminded to include specific information on the ARRA additional funding as part of the annual progress report(s) of the parent grant.

Separate financial reporting (SF 272 and Financial Status Reports) will be required to be submitted covering this additional funding. These will be in addition to any required financial reports for the parent grant.

Separate closeout documents (Final Progress Report, Final Financial Status Report, and Final Invention Statement) will also be required to closeout the Recovery Act funding at the time the ARRA funding ends. These closeout reports for the ARRA funding are required even when the parent grant continues.

ARRA funds provided under this award are not available for rebudgeting or carryover into the parent grant. Any ARRA funding remaining at the end of the funding period for this award must be reported as an unobligated balance.

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website:  
<http://publicaccess.nih.gov/>.

This award represents the final year of the competitive segment for this grant. Therefore, see the NIH Grants Policy Statement (12/1/2003 version) for closeout requirements at: [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part8.htm#\\_Toc54600151](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part8.htm#_Toc54600151).

A final Financial Status Report (FSR) (SF 269) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date; see NIH Guide Notice NOT-OD-07-078 for additional information on this electronic submission requirement.

Furthermore, unless an application for competitive renewal is submitted, additional grant closeout documents consisting of a Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) and a final progress report must also be submitted within 90 days of the expiration date.

NIH also strongly encourages electronic submission of the final progress report and the final invention statement through the Closeout feature in the Commons. If the final progress report and final invention statement are not submitted electronically, copies of the HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

Submissions of the final progress report and HHS 568 may be e-mailed as PDF attachments to the NIH Central Closeout Center at: [deascentralized@od.nih.gov](mailto:deascentralized@od.nih.gov)

Paper submissions of the final progress report and the HHS 568 may be faxed to the NIH Central Closeout Center at 301-480-2304 or mailed to the NIH Central Closeout Center at the following address:

NIH/OD/OER/DEAS  
Central Closeout Center  
6705 Rockledge Drive, Room 2207  
Bethesda, MD 20892-7987 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

The final progress report should include, at a minimum, a summary of progress toward the achievement of the originally stated aims, a list of significant results (positive and/or negative), a list of publications and the grant number. If human subjects were included in the research, the final progress report should also address the following:

- Report on the inclusion of gender and minority study subjects (using the gender and minority Inclusion Enrollment Form as provided in the PHS 2590 and available at <http://grants.nih.gov/grants/forms.htm>).
- Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children (see "Public Policy Requirements and Objectives-Requirements for Inclusiveness in Research Design-Inclusion of Children as Subjects in Clinical Research" in the PHS 398 at URL [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPs\\_Part5.htm#\\_Toc54600090](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part5.htm#_Toc54600090))
- Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed.

Note, if this is the final year of a competitive segment due to the transfer of the grant to another institution, then not all the requirements stated above are applicable. Specifically a Final Progress Report is not required. However, a final FSR is required and should be submitted electronically as noted above. In addition, if not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

#### **Treatment of Program Income:** Additional Costs

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### **SECTION IV – RR Special Terms and Conditions – 3P20RR016430-08S1**

This award is issued in response to the NIH Funding Opportunity Announcement NOT-OD-09-056, Recovery Act Funds for Administrative Supplements: NCRR ARRA Funding for Administrative Supplements for Research Workforce Development and Dissemination.

Funds provided in this supplement are restricted for the purposes outlined in the grantee's application dated 05/18/2009 and may not be expended for any other purpose without the written prior approval of the National Center for Research Resources.

In accordance with the Notice: NOT-OD-02-017 entitled, "GRADUATE STUDENT COMPENSATION" published on December 10, 2001, in the NIH Guide for Grants and Contracts, total direct costs (salary, fringe benefits and tuition remission) for graduate students are provided at a level not to exceed the NIH maximum allowable amount (zero level of the Ruth L. Kirschstein National Research Service Award stipend in effect at the time of the competing award). Support recommended for future years has been adjusted accordingly, if applicable. The full guide Notice describing the level of compensation allowed for a graduate student can be found at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-017.html>.

This award does not include funds for the support of lodging as requested in the application. In accordance with OMB Circular A-21, these costs are considered unallowable as direct costs, but, if appropriate, may be charged to the project as F&A costs.

This supplemental award is being funded for a two-year budget and project period. It is expected that the grantee will expend funds at the following levels as indicated in the requested/adjusted budget:

Year 1 = \$288,061 Total Costs (\$198,526 direct costs + \$89,535 F&A costs).  
Year 2 = \$295,010 Total Costs (\$203,315 direct costs + \$91,695 F&A costs).

If the grantee plans to issue a press release concerning the award of the grant or the outcome of NCRR grant-supported research, it should notify the NCRR Office of Communications at 301-435-0888 in advance to allow for coordination.

The NCRR WWW home page is at <http://www.ncrr.nih.gov>.

#### **STAFF CONTACTS**

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an

Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Sheryl P. Lane  
**Email:** lanesh@mail.nih.gov **Phone:** (301) 435-0846 **Fax:** (301) 480-3777

**Program Official:** Michael Sayre  
**Email:** sayrem@mail.nih.gov **Phone:** 301 435-0962 **Fax:** 301 480-3770

# SPREADSHEET SUMMARY

**GRANT NUMBER:** 3P20RR016430-08S1

**INSTITUTION:** UNIVERSITY OF ALASKA FAIRBANKS

<b>Budget</b>	<b>Year 8</b>	<b>Year 9</b>	<b>Year 10</b>
Salaries and Wages	\$234,335		
Fringe Benefits	\$71,293		
Personnel Costs (Subtotal)	\$305,628		
Supplies	\$2,000		
Travel Costs	\$82,327		
Other Costs	\$11,886		
TOTAL FEDERAL DC	\$401,841		
TOTAL FEDERAL F&A	\$181,230		
TOTAL COST	\$583,071	\$0	\$0

<b>Facilities and Administrative Costs</b>	<b>Year 8</b>	<b>Year 9</b>	<b>Year 10</b>
F&A Cost Rate 1	45.1%		
F&A Cost Base 1	\$198,526		
F&A Costs 1	\$89,535		
F&A Cost Rate 2	45.1%		
F&A Cost Base 2	\$203,315		
F&A Costs 2	\$91,695		





THIS AWARD IS ISSUED UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 AND IS SUBJECT TO SPECIAL HHS TERMS AND CONDITIONS AS REFERENCED IN SECTION III

**Grant Number:** 3P20RR016430-08S2

**Principal Investigator(s):**  
Gerald Mohatt, MS

**Project Title:** Investigating Obesity and Chronic Disease-Related Risk Factors of Alaska Natives

MAGGIE GRISCAVAGE  
DIR, OFC OF GRANTS/CONTRACTS ADM  
UNIVERSITY OF ALASKA FAIRBANKS  
PO BOX 757880  
FAIRBANKS, AK 997757880

**Award e-mailed to:** fygrcon@uaf.edu

**Budget Period:** 09/01/2009 – 08/31/2011

**Project Period:** 09/01/2009 – 08/31/2011

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$957,627 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ALASKA FAIRBANKS in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number P20RR016430 from the National Center For Research Resources. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Center For Research Resources or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors,

or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/loi/index.htm> provides additional information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Quadira R. Huff  
Grants Management Officer  
NATIONAL CENTER FOR RESEARCH RESOURCES

Additional information follows

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**SECTION I – AWARD DATA – 3P20RR016430-08S2****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$197,577
Fringe Benefits	\$75,555
Personnel Costs (Subtotal)	\$273,132
Supplies	\$1,000
Travel Costs	\$54,590
Other Costs	\$2,300
Consortium/Contractual Cost	\$466,040

Federal Direct Costs	\$797,062
Federal F&A Costs	\$160,565
Approved Budget	\$957,627
Federal Share	\$957,627
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$957,627</b>

<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$957,627</b>
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**Fiscal Information:**

CFDA Number:	93.701
EIN:	1926000147A1
Document Number:	PRR016430Z
Fiscal Year:	2009

IC	CAN	2009
RR	8485254	\$957,627

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

PCC: RII01 / OC: 414C / Processed: HUFFQR 08/31/2009

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 3P20RR016430-08S2**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

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**SECTION III – TERMS AND CONDITIONS – 3P20RR016430-08S2**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at 'http://grants.nih.gov/grants/policy/awardconditions.htm' for certain references cited above.)

**ARRA TERM OF AWARD:** This award provides additional funding for 5P20RR016430-08. This additional funding is provided under the American Recovery and Reinvestment Act of 2009 (ARRA) and is subject to the HHS-Approved Standard Terms and Conditions for ARRA. Approved text for NIH awards can be found at:

[http://grants.nih.gov/grants/policy/NIH\\_HHS\\_ARRA\\_Award\\_Terms.pdf](http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf). Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2. These special quarterly reporting requirements apply only to

this additional funding. Recipients should not include any information about the parent grant when responding to the quarterly reporting requirements.

Grantees are reminded to include specific information on the ARRA additional funding as part of the annual progress report(s) of the parent grant.

Separate financial reporting (SF 272 and Financial Status Reports) will be required to be submitted covering this additional funding. These will be in addition to any required financial reports for the parent grant.

Separate closeout documents (Final Progress Report, Final Financial Status Report, and Final Invention Statement) will also be required to closeout the Recovery Act funding at the time the ARRA funding ends. These closeout reports for the ARRA funding are required even when the parent grant continues.

ARRA funds provided under this award are not available for rebudgeting or carryover into the parent grant. Any ARRA funding remaining at the end of the funding period for this award must be reported as an unobligated balance.

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award represents the final year of the competitive segment for this grant. Therefore, see the NIH Grants Policy Statement (12/1/2003 version) for closeout requirements at: [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part8.htm#\\_Toc54600151](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part8.htm#_Toc54600151).

A final Financial Status Report (FSR) (SF 269) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date; see NIH Guide Notice NOT-OD-07-078 for additional information on this electronic submission requirement.

Furthermore, unless an application for competitive renewal is submitted, additional grant closeout documents consisting of a Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) and a final progress report must also be submitted within 90 days of the expiration date.

NIH also strongly encourages electronic submission of the final progress report and the final invention statement through the Closeout feature in the Commons. If the final progress report and final invention statement are not submitted electronically, copies of the HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

Submissions of the final progress report and HHS 568 may be e-mailed as PDF attachments to the NIH Central Closeout Center at: [deascentralized@od.nih.gov](mailto:deascentralized@od.nih.gov)

Paper submissions of the final progress report and the HHS 568 may be faxed to the NIH Central Closeout Center at 301-480-2304 or mailed to the NIH Central Closeout Center at the following address:

NIH/OD/OER/DEAS  
Central Closeout Center  
6705 Rockledge Drive, Room 2207  
Bethesda, MD 20892-7987 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

The final progress report should include, at a minimum, a summary of progress toward the achievement of the originally stated aims, a list of significant results (positive and/or negative), a list of publications and the grant number. If human subjects were included in the research, the final progress report should also address the following:



The NCRR WWW home page is at <http://www.ncrr.nih.gov>.

## STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Sheryl P. Lane

**Email:** [lanesh@mail.nih.gov](mailto:lanesh@mail.nih.gov) **Phone:** (301) 435-0846 **Fax:** (301) 480-3777

**Program Official:** Michael Sayre

**Email:** [sayrem@mail.nih.gov](mailto:sayrem@mail.nih.gov) **Phone:** 301 435-0962 **Fax:** 301 480-3770

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 3P20RR016430-08S2

**INSTITUTION:** UNIVERSITY OF ALASKA FAIRBANKS

<b>Budget</b>	<b>Year 8</b>	<b>Year 9</b>	<b>Year 10</b>
Salaries and Wages	\$197,577		
Fringe Benefits	\$75,555		
Personnel Costs (Subtotal)	\$273,132		
Supplies	\$1,000		
Travel Costs	\$54,590		
Other Costs	\$2,300		
Consortium/Contractual Cost	\$466,040		
TOTAL FEDERAL DC	\$797,062		
TOTAL FEDERAL F&A	\$160,565		
TOTAL COST	\$957,627	\$0	\$0

<b>Facilities and Administrative Costs</b>	<b>Year 8</b>	<b>Year 9</b>	<b>Year 10</b>
F&A Cost Rate 1	45.1%		
F&A Cost Base 1	\$186,542		
F&A Costs 1	\$84,130		
F&A Cost Rate 2	45.1%		
F&A Cost Base 2	\$169,480		
F&A Costs 2	\$76,435		
F&A Cost Rate 3	0%		
F&A Cost Base 3	\$0		
F&A Costs 3	\$0		

**National Science Foundation**  
**4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230**

Award Date:  
Award No.  
Proposal No.

August 25, 2009  
DBI-0852111  
DBI-0852111

Barbara Hyde  
Director, Grants Management  
University of Alaska, Juneau  
11120 Glacier Highway  
Juneau, AK 99801-8625

Dear Ms. Hyde:

The National Science Foundation hereby awards a grant of \$308,763 to University of Alaska, Juneau for support of the project described in the proposal referenced above as modified by revised budget dated June 16, 2009.

This project, entitled "REU Site in Marine and Coastal Ecology in Alaska," is under the direction of Elizabeth A. Mathews, Matthew J. Heavner.

This award is effective September 1 , 2009 and expires August 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and NSF RTC Agency Specific Requirements (dated January 2009) available at <http://www.nsf.gov/awards/managing/rtc.jsp> and the following terms and conditions:

Funds provided for participant support may not be diverted by the awardee to other categories of expense without the prior written approval of the cognizant NSF Program Officer. Since participant support cost is not a normal account classification, the awardee organization must be able to separately identify participant support costs. It is highly recommended that separate accounts, sub-accounts, sub-task, or sub-ledgers be established to accumulate these costs. The awardee should have written policies and procedures to segregate participant support costs.

As a condition of this award, the grantee agrees to provide cost sharing as specified in the referenced proposal, as amended, in the amount of \$80,254. No Federal funds may be used to meet the grantee's cost sharing obligation for this project.

Funds provided by this award include support for "Research Experiences for Undergraduates" in accordance with the NSF program announcement 07-569.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address

[<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=08521111>].

The cognizant NSF program official for this grant is Alan H. Savitzky, (703) 292-8470.

The cognizant NSF grants official contact is Tarsha Johnson, (703) 292-4801.

Sincerely,

Vanessa L. Richardson  
Grants and Agreements Officer

CFDA No. 47.082  
[barbara.hyde@uas.alaska.edu](mailto:barbara.hyde@uas.alaska.edu)

□

DBI-0852111  
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# SUMMARY PROPOSAL BUDGET

## Award No. 0852111

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	0.00	0.00	3.00	\$21,294
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (0.00) Graduate students				\$0
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$21,294
C. Fringe benefits (if charged as direct cost)				\$6,836
Total salaries wages and fringes (A+B+C)				\$28,130
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$7,904
2. Foreign				\$0
F. Total participant support costs				\$232,979
G. Other direct costs				
1. Materials and supplies				\$0
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$6,000
Total other direct costs				\$6,000
H. Total direct costs (A through G)				\$275,013
I. Total indirect costs				\$33,750
J. Total direct and indirect costs (H+I)				\$308,763
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$308,763
M. Cost sharing				\$0

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**National Science Foundation**  
**4201 WILSON BOULEVARD, ARLINGTON, VIRGINIA 22230**

Award Date:  
Award No.  
Proposal No.

July 24, 2009  
ARC-0909527  
ARC-0909527

Ms. Maggie Griscavage  
Director, Grant and Contract Services  
University of Alaska Fairbanks  
109 ASC  
P.O. Box 757880  
Fairbanks, AK 99775-7880

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$41,135 to University of Alaska Fairbanks for support of the project described in the proposal referenced above as modified by revised budget dated June 11, 2008.

This project, entitled "Collaborative research: Understanding the role of environmental change on the long-term population dynamics of one surviving and two extinct arctic mammals," is under the direction of Matthew J. Wooller, in collaboration with, Beth Shapiro, The Pennsylvania State University and Robert K. Wayne, University of California, Los Angeles.

This award is effective August 1, 2009 and expires July 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:

[http://www.nsf.gov/publications/pub\\_summ.jsp?ods\\_key=arra0509](http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509)

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. and the following terms and conditions:

The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic

Master Directory, via the USAP Data Coordination Center  
(<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission  
should be to the Arctic System Science Data Coordination Center at  
<http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has  
based its support.

Please view the project reporting requirements for this award at the following  
web address  
{<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0909527>}.

The cognizant NSF program official for this grant is Neil R. Swanberg, (703)  
292-8029.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

Jamie H. French  
Grants and Agreements Officer

CFDA No. 47.082  
fygrcon@uaf.edu

ARC-0909527  
000

### SUMMARY PROPOSAL BUDGET Award No. 0909527

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	0.80	0.00	0.00	\$7,090
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (3.00) Other professionals	1.80	0.00	0.00	\$8,731
3. (0.00) Graduate students				\$0
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$15,821
C. Fringe benefits (if charged as direct cost)				\$6,528
Total salaries wages and fringes (A+B+C)				\$22,349
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$0
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$0
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$6,000
Total other direct costs				\$6,000
H. Total direct costs (A through G)				\$28,349
I. Total indirect costs				\$12,786
J. Total direct and indirect costs (H+I)				\$41,135
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects GPM 252 and 253)				\$0

2. Small business fee  
L. Amount of this request (J) or (J-K1+K2)  
M. Cost sharing

\$0  
\$41,135  
\$0

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THIS AWARD IS ISSUED UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 AND IS SUBJECT TO SPECIAL HHS TERMS AND CONDITIONS AS REFERENCED IN SECTION III

**Grant Number:** 3P20RR016466-09S1

**Principal Investigator(s):**  
GEORGE M HAPP, PHD

**Project Title:** Alaska INBRE-2: Environmental Agents and Disease

MAGGIE GRISCAVAGE  
DIRECTOR  
UNIVERSITY OF ALASKA, FAIRBANKS  
OFC OF GRANTS & CONTRACTS ADMIN  
PO BOX 757880  
FAIRBANKS, AK 997757880

**Award e-mailed to:** fygrcon@uaf.edu

**Budget Period:** 08/29/2009 – 08/28/2011

**Project Period:** 08/29/2009 – 08/28/2011

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$600,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ALASKA FAIRBANKS in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR PART 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number P20RR016466 from the National Center For Research Resources. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Center For Research Resources or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors,

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Irene Grissom  
Grants Management Officer  
NATIONAL CENTER FOR RESEARCH RESOURCES

DOI: 10.1111/j.1365-3113.2009.04516.x | Generated on: 08/26/2009 13:05:10

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**SECTION I – AWARD DATA – 3P20RR016466-09S1****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$254,020
Fringe Benefits	\$11,727
Personnel Costs (Subtotal)	\$265,747
Supplies	\$3,500
Travel Costs	\$2,000
Other Costs	\$206,421

Federal Direct Costs	\$477,668
Federal F&A Costs	\$122,332
Approved Budget	\$600,000
Federal Share	\$600,000
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$600,000</b>

<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$600,000</b>
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**Fiscal Information:**

CFDA Number:	93.701
EIN:	1926000147A1
Document Number:	PRR016466Z
Fiscal Year:	2009

IC	CAN	2009
RR	8485246	\$600,000

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

PCC: RII / OC: 414C / Processed: GRISSOMI 08/28/2009

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 3P20RR016466-09S1**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

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**SECTION III – TERMS AND CONDITIONS – 3P20RR016466-09S1**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at 'http://grants.nih.gov/grants/policy/awardconditions.htm' for certain references cited above.)

**ARRA TERM OF AWARD:** This award provides additional funding for 2P20RR016466-09. This additional funding is provided under the American Recovery and Reinvestment Act of 2009 (ARRA) and is subject to the HHS-Approved Standard Terms and Conditions for ARRA. Approved text for NIH awards can be found at:

[http://grants.nih.gov/grants/policy/NIH\\_HHS\\_ARRA\\_Award\\_Terms.pdf](http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf). Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2. These special quarterly reporting requirements apply only to

this additional funding. Recipients should not include any information about the parent grant when responding to the quarterly reporting requirements.

Grantees are reminded to include specific information on the ARRA additional funding as part of the annual progress report(s) of the parent grant.

Separate financial reporting (SF 272 and Financial Status Reports) will be required to be submitted covering this additional funding. These will be in addition to any required financial reports for the parent grant.

Separate closeout documents (Final Progress Report, Final Financial Status Report, and Final Invention Statement) will also be required to closeout the Recovery Act funding at the time the ARRA funding ends. These closeout reports for the ARRA funding are required even when the parent grant continues.

ARRA funds provided under this award are not available for rebudgeting or carryover into the parent grant. Any ARRA funding remaining at the end of the funding period for this award must be reported as an unobligated balance.

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award represents the final year of the competitive segment for this grant. Therefore, see the NIH Grants Policy Statement (12/1/2003 version) for closeout requirements at: [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part8.htm#\\_Toc54600151](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part8.htm#_Toc54600151).

A final Financial Status Report (FSR) (SF 269) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date; see NIH Guide Notice [NOT-OD-07-078](#) for additional information on this electronic submission requirement.

Furthermore, unless an application for competitive renewal is submitted, additional grant closeout documents consisting of a Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) and a final progress report must also be submitted within 90 days of the expiration date.

NIH also strongly encourages electronic submission of the final progress report and the final invention statement through the Closeout feature in the Commons. If the final progress report and final invention statement are not submitted electronically, copies of the HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

Submissions of the final progress report and HHS 568 may be e-mailed as PDF attachments to the NIH Central Closeout Center at: [deascentralized@od.nih.gov](mailto:deascentralized@od.nih.gov)

Paper submissions of the final progress report and the HHS 568 may be faxed to the NIH Central Closeout Center at 301-480-2304 or mailed to the NIH Central Closeout Center at the following address:

NIH/OD/OER/DEAS  
Central Closeout Center  
6705 Rockledge Drive, Room 2207  
Bethesda, MD 20892-7987 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

The final progress report should include, at a minimum, a summary of progress toward the achievement of the originally stated aims, a list of significant results (positive and/or negative), a list of publications and the grant number. If human subjects were included in the research, the final progress report should also address the following:



- Report on the inclusion of gender and minority study subjects (using the gender and minority Inclusion Enrollment Form as provided in the PHS 2590 and available at <http://grants.nih.gov/grants/forms.htm>).
- Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children (see "Public Policy Requirements and Objectives-Requirements for Inclusiveness in Research Design-Inclusion of Children as Subjects in Clinical Research" in the PHS 398 at URL [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPs\\_Part5.htm#\\_Toc54600090](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part5.htm#_Toc54600090)).
- Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed.

Note, if this is the final year of a competitive segment due to the transfer of the grant to another institution, then not all the requirements stated above are applicable. Specifically a Final Progress Report is not required. However, a final FSR is required and should be submitted electronically as noted above. In addition, if not already submitted, the Final Invention Statement is required and should be sent directly the assigned Grants Management Specialist.

#### **Treatment of Program Income:** Additional Costs

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### **SECTION IV – RR Special Terms and Conditions – 3P20RR016466-09S1**

This award is issued in response to the NIH Funding Opportunity Announcement NOT-OD-09-056, Recovery Act Funds for Administrative Supplements: NCRR ARRA Funding for Administrative Supplements for Research Workforce Development and Dissemination.

Funds provided in this supplement are restricted for the purposes outlined in the grantee's application dated 5/18/09 and revised budget pages dated 7/30/09. Funds may not be expended for any other purpose without the written prior approval of the National Center for Research Resources.

This supplemental award is being funded for a two-year budget and project period. It is expected that the grantee will expend funds at the following levels as indicated in the requested/adjusted budget:

Year 1 = \$300,000 Total Costs ( \$238,818 direct costs + \$61,182 F&A costs).  
Year 2 = \$300,000 Total Costs (\$238,850 direct costs + \$61,150 F&A costs).

The Other Expenses category has been adjusted to adhere to the \$300,000 Total Costs cap per year in accordance with the funding announcement.

In addition to the PI, the following individuals are named as key personnel:

Jocelyn Krebs  
Sue Hills  
Todd O'Hara

Written prior approval is required if any of the individual(s) named above withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.

If the grantee plans to issue a press release concerning the outcome of NCRR grant-supported research, it should notify the NCRR Office of Communications at 301-435-0888 in advance to allow for coordination.

#### **SECTION V - CONTACTS:**

The NCRR WWW home page is at <http://www.ncrr.nih.gov/>

#### **STAFF CONTACTS**

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Christina Fleming

**Program Official:** Michael Sayre

**Email:** sayrem@mail.nih.gov **Phone:** 301 435-0962 **Fax:** 301 480-3770

#### SPREADSHEET SUMMARY

**GRANT NUMBER:** 3P20RR016466-09S1

**INSTITUTION:** UNIVERSITY OF ALASKA FAIRBANKS

<b>Budget</b>	<b>Year 9</b>	<b>Year 10</b>	<b>Year 11</b>	<b>Year 12</b>	<b>Year 13</b>
Salaries and Wages	\$254,020				
Fringe Benefits	\$11,727				
Personnel Costs (Subtotal)	\$265,747				
Supplies	\$3,500				
Travel Costs	\$2,000				
Other Costs	\$206,421				
TOTAL FEDERAL DC	\$477,668				
TOTAL FEDERAL F&A	\$122,332				
TOTAL COST	\$600,000	\$0	\$0	\$0	\$0

<b>Facilities and Administrative Costs</b>	<b>Year 9</b>	<b>Year 10</b>	<b>Year 11</b>	<b>Year 12</b>	<b>Year 13</b>
F&A Cost Rate 1	45.1%				
F&A Cost Base 1	\$271,247				
F&A Costs 1	\$122,332				



THIS AWARD IS ISSUED UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 AND IS SUBJECT TO SPECIAL HHS TERMS AND CONDITIONS AS REFERENCED IN SECTION III

**Grant Number:** 1R01NS066059-01

**Principal Investigator(s):**  
Marvin K Schulte, PHD

**Project Title:** Novel, subtype selective potentiators of nicotinic acetylcholine receptors

Andrew Parkerson-Gray  
Director, Office of Sponsored Programs  
P.O. Box 757270  
Fairbanks, AK 997757270

**Award e-mailed to:** fygrcon@uaf.edu

**Budget Period:** 09/15/2009 – 08/31/2010  
**Project Period:** 09/15/2009 – 08/31/2011

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$335,231 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ALASKA FAIRBANKS in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number R01NS066059 from the National Institute Of Neurological Disorders And Stroke. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Neurological Disorders And Stroke or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors, or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/coi/index.htm> provides additional information.

- Sincerely yours,

Additional information follows



**ARRA TERM OF AWARD:** This award is subject to the HHS-Approved Standard Terms and Conditions for the American Recovery and Reinvestment Act of 2009. Approved text for NIH awards can be found at [http://grants.nih.gov/grants/policy/NIH\\_HHS\\_ARRA\\_Award\\_Terms.pdf](http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf). Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2.

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

**Treatment of Program Income:**  
Additional Costs

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**SECTION IV – NS Special Terms and Conditions – 1R01NS066059-01**

This award reflects the revised specific aims and budget as submitted by the University of Alaska on 05/06/2009 to Dr. Shai Silberberg, as negotiated and approved by the NINDS staff.

**ARRA Special Quarterly Reporting Requirements:**

The recipient must submit quarterly reports to the HHS that will be posted to Recovery.gov. These quarterly reports must be signed by an approved signing official from the grantee administrative/business office.

CALENDAR quarters are as follows (regardless of budget start date):

ARRA activity in JAN/FEB/MAR must be reported no later than April 10.  
ARRA activity in APR/MAY/JUN must be reported no later than July 10.  
ARRA activity in JUL/AUG/SEP must be reported no later than Oct 10.  
ARRA activity in OCT/NOV/DEC must be reported no later than Jan 10.

For example: An ARRA grant with a budget period starting 6/1/2009 will have to submit quarterly reports on or before 7/10/2009 (1st quarter report); 10/10/2009 (2nd quarter report); 1/10/2010 (3rd quarter report); and 4/10/2010 (4th quarter report.)

The necessary contents of the ARRA quarterly report can be found under the terms and conditions listed at [http://grants.nih.gov/grants/policy/NIH\\_HHS\\_ARRA\\_Award\\_Terms.pdf](http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf)

These funds should not be used to pay the salary of an individual at a rate in excess of Executive Level I (\$196,700 in Fiscal Year 2009) per year.

Support in future years should be spent at no more than a 3% escalation on recurring costs.

Where consortia are included, they are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at:

[http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPS\\_Part12.htm](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part12.htm) - \_Toc54600251

If graduate students are funded through this project, in accordance with the Notice: NOT-OD-02-017 entitled, "GRADUATE STUDENT COMPENSATION" published on December 10, 2001, in the NIH Guide for Grants and Contracts, total direct costs (salary, fringe benefits and tuition remission) for graduate students are provided at a level not to exceed the NIH maximum allowable amount (zero level of the Ruth L. Kirschstein National Research Service Award stipend in effect at the time of the competing award). The full guide Notice describing the level of compensation allowed for a graduate student can be found at: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-09-075.html>.

Where model sharing is applicable, the grantee is to adhere to the NIH Policy on Sharing of Model Organisms For Biomedical Research issued May 7, 2004 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-04-042.html>).

In addition to ARRA quarterly CALENDAR reports, in future years, the Streamlined Non-competing Award Process (SNAP) progress reports should be submitted via the eRA Commons. To register to use the Commons go to <https://commons.era.nih.gov/commons/>. Questions regarding the Commons should be addressed to Commons Support at 1-866-504-9552 or [commons@od.nih.gov](mailto:commons@od.nih.gov).

Non-SNAP applications should be submitted to the centralized receipt center:

Division of Extramural Activities Support, OER  
National Institutes of Health  
6705 Rockledge Drive, Room 2207, MSC 7987  
Bethesda, MD 20892-7987 (for regular or US Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

For additional information, you may access the NIH home page at <http://www.nih.gov/> and the NINDS Home Page at <http://www.ninds.nih.gov>

## STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Jeannette Gordon

**Email:** [jg82s@nih.gov](mailto:jg82s@nih.gov) **Phone:** 301-496-3813

**Program Official:** Shai D Silberberg

**Email:** [silberbs@ninds.nih.gov](mailto:silberbs@ninds.nih.gov) **Phone:** 301-496-1917

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01NS066059-01

**INSTITUTION:** UNIVERSITY OF ALASKA FAIRBANKS

<b>Budget</b>	<b>Year 1</b>	<b>Year 2</b>
Salaries and Wages	\$81,674	\$84,124
Fringe Benefits	\$12,810	\$13,195
Supplies	\$37,479	\$31,876
Travel Costs	\$10,580	\$11,092
Other Costs	\$17,980	\$18,930
Consortium/Contractual Cost	\$96,395	\$100,252
TOTAL FEDERAL DC	\$256,918	\$259,469
TOTAL FEDERAL F&A	\$78,313	\$66,288
TOTAL COST	\$335,231	\$325,757

<b>Facilities and Administrative Costs</b>	<b>Year 1</b>	<b>Year 2</b>
F&A Cost Rate 1	45.1%	45.1%
F&A Cost Base 1	\$173,643	\$146,981
F&A Costs 1	\$78,313	\$66,288