

Bauske, Shelly A.

Subject: FW: ARRA Grants Support Calls!
Attachments: Attachment 3 - Reporting Requirements.doc; Attachment 2 - Statement of Project Objectives(II).doc; PUC PROJECT MANAGEMENT PLAN TEMPLATE.docx

Importance: High

From: Geiger, Gloria A.
Sent: Monday, December 07, 2009 1:53 PM
To: Bauske, Shelly A.
Subject: FW: ARRA Grants Support Calls!
Importance: High

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From: Miles Keogh [mailto:mkeogh@naruc.org]
Sent: Monday, December 07, 2009 1:42 PM
To: Miles Keogh; NARUC Commissioners
Cc: Ron Law; Small, Susan; Calvin Timmerman; Danner, Dave (UTC); Byers, Dick (UTC); Rogers, David (UTC); Borum, Bradley; Terry J. Romine; Daniel.S.Bilderback@hawaii.gov; Moss, Wayne; Steven Olea; Kite, Bliss; john.rogers@psc.mo.gov; wess.henderson@psc.mo.gov; natelle.dietrich@psc.mo.gov; Collins, Paulina; Hilburn, Freda; Featherston, David; Boyd, Jocelyn; Hanneman, Janet (DELEG); Carlson, Sarah; proudfootp@michigan.gov; grayt1@michigan.gov; pearcec@michigan.gov; fournierc1@michigan.gov; Becerra, Mary; Darrell Zlomke; Carol Revelt; "Hitt, Richa", <kmoury@state.pa.us>, <lee.sparling@state.or.us>, <maury.galbraith@state.or.us>, <ellis@ncuc.net>, <mary.w.freeman@state.tn.us>, <l.lago@occcemail.com>, <helen.hilton@ky.gov>, <bborum@urc.in.gov>, <scarlson@mt.gov>, <Brooke.K.Kane@hawaii.gov>, <Wendy.A.Takanishi@hawaii.gov>, <Jeff.Primm@state.nm.us>, <buddy.stricker@la.gov>, "Melanie Verzwylvelt" <Melanie.Verzwylvelt@LA.GOV>, "Carol Revelt" <crevelt@utah.gov>, "Mark Futrell" <MFutrell@PSC.STATE.FL.US>, "Gerry Galinato" <Gerry.Galinato@puc.idaho.gov>, "Cooper; Judi [IUB]" <Judi.Cooper@iub.state.ia.us>, Bodine; Frank [IUB] <Frank.Bodine@iub.state.ia.us>, <Philip.Dukes@po.state.ct.us>, Pound; Karl <kpound@icc.illinois.gov>, Janet Buchanan <j.buchanan@kcc.ks.gov>, Bowman; Phylcia Fauntleroy <PBowman@psc.dc.gov>, <ggeiger@nd.gov>, <dnitschk@nd.gov>, <Patty.VanGerpen@state.sd.us>, Burl Haar <Burl.Haar@state.mn.us>, Vikki Moore <vmoores@psc.state.ar.us>, Maucher Andrea <andrea.maucher@state.de.us>, Carlson; Sarah <SCarlson@mt.gov>, Hilburn; Freda <hilburn@ncuc.net>, <ChristiAne.Mason@puc.nh.gov>, Morales; Jesus <Jesus.Morales@puc.state.tx.us>, Gazaway; Richard L <richard.gazaway@alaska.gov>, Waldemar; Rebecca <rwaldemar@state.pa.us>, <kwhitney@mt.gov>, Joseph Hanna <Joseph.Hanna@NETL.DOE.GOV>, Amanda Lopez <Amanda.Lopez@NETL.DOE.GOV>, Mansueti; Lawrence <Lawrence.Mansueti@hq.doe.gov>, Fairo Mitchell <F.Mitchell@occcemail.com>, Mark Futrell <MFutrell@PSC.STATE.FL.US>, Diana Marr <dmarr@PSC.STATE.FL.US>, William Chambliss <William.Chambliss@scc.virginia.gov>, Steven Olea <SOlea@azcc.gov>, <CBuck@AZCC.gov>, Gazaway; Richard L <richard.gazaway@alaska.gov>, Ellerbe; Frances <fellerbe@regstaff.sc.gov>, Bowman; Phylcia Fauntleroy <PBowman@psc.dc.gov>, Janson; Kurt <Kurt.Janson@state.vt.us>
Subject: ARRA Grants Support Calls!
Importance: High

11 PU-09-629 Filed: 12/7/2009 Pages: 12
Email – Grant Support Call Dates, Supporting Documentation, and Reporting Template

Dear NARUC Colleagues,

Now that many of you have been awarded your State Electricity Regulator's Assistance grants from the DOE, we're starting back up with the ARRA grants support calls - three, in fact. Please mark your calendars!

Tuesday, December 15 from 10:00 - 11:00 (eastern time)

Thursday, December 17 from 3:00 - 4:00 (eastern time)

Wednesday, January 6 from 2:00 - 3:00 (eastern time)

You don't need to come to all three, but it's possible you'll want to hear questions that other states ask even if there's some duplication. The folks from the National Energy Technology Lab (the entity managing the grants) have offered to come give a briefing and answer questions that should help your state. We'll cover these topics:

1. Reporting Requirements
2. Project Management Plan
3. Workforce Development Plan

The kind folks from NETL have asked me to ask participants to have a complete copy of their Assistance Agreement during the telecon. By complete, I mean the 2-page assistance agreement, the Terms and Conditions, and the 4 attachments to the Terms and Conditions. The most pertinent attachments for the teleconference are Attachment 3 (Reporting Requirements) and Attachment 2 (SOPO). New York's Attachments 2 and 3 to this email are attached as an example. They are exactly the same for all of the PUC grants.

Around 40 of the grants have been awarded so far. The attached documents may be useful for states who have not yet received an award, as they may help you follow along during the telecon discussion. DOE also forwarded a Project Management Plan template (attached), slightly modified from the one included in the DOE FOA. This should also be really useful as you move toward your grants award compliance.

For all the calls, please use the following dial-in information and passcode:


Call-in number: 1-866-462-0164

Passcode: *5853698*

(Please don't forget to use the stars before and after the number!)

Best wishes,
Miles

Miles Keogh
Director of Grants & Research
National Association of Regulatory Utility Commissioners (NARUC)
1101 Vermont Ave. NW, Suite 200
Washington, DC 20005
ph. 202-898-2217
fx. 202-384-1546

 Please don't print this e-mail unless you really need to.

ATTACHMENT 2

STATEMENT OF PROJECT OBJECTIVES (SOPO)

A. OBJECTIVES

The objectives of this initiative are to: 1) increase the capacity of state PUCs to manage a significant increase in dockets and other regulatory actions resulting from ARRA electricity-related topical areas; 2) facilitate timely consideration by PUCs of regulatory actions pertaining to ARRA electricity-related topical areas; and 3) create jobs.

The initiative focuses on building state PUC capacity to ensure timely consideration by appropriate regulatory processes for ARRA electricity-related topical areas. Electricity-related ARRA topical areas include, but are not necessarily limited to: energy efficiency, electricity-based renewable energy, energy storage, smart grid, electric and hybrid-electric vehicles, and demand response equipment, coal with carbon capture and storage, and transmission.

B. SCOPE OF WORK

The following activities are addressed:

- ◆ Increasing the capacity of the State PUCs to manage a significant increase in dockets and other regulatory actions resulting from ARRA electricity-related topical areas;
- ◆ Facilitating timely consideration by PUCs of regulatory actions pertaining to ARRA electricity-related topical areas

The projects will be assessed according to the following performance metrics:

- ◆ Number of electricity specialists hired by the PUC,
- ◆ Number of PUC electricity specialists trained in ARRA electricity-related topical areas, and
- ◆ Number of ARRA electricity-related dockets managed by the PUC

C. TASKS TO BE PERFORMED

Note: These are tasks that will be included in the Grant award; however subtasks may be added to the Project Management Plan, if needed, to help better describe the project approach.

Task 1.0 - Project Management Plan

The Recipient will prepare a Project Management Plan that details the work elements (e.g., administration of the grant, opening and managing dockets, conducting workshops or other proceedings on topics relevant to this FOA, etc.), required to manage and report on activities in accordance with the ARRA and grant requirements. This Plan will also document the project plan and budget for carrying out all Tasks and completing all Deliverables under this Grant. With the understanding that PUC workload is at times unpredictable, it is anticipated that this document will be periodically revised during the performance period, but at all times will provide sufficient detail to plan, carry out and monitor all project activities.

Task 2.0 – Workforce Development Plan

The Recipient will prepare and follow a Workforce Development Plan that results in development of in-house expertise within the PUC funded by this FOA. The Plan will address acquiring/hiring, retaining, and training personnel in electricity topic areas.

Task 3.0 – ARRA Case Monitoring Reports

The Recipient will provide quarterly reports summarizing the status of all ARRA electricity-related PUC activities (e.g., typical PUC work products, such as dockets, final orders, legal findings, workshops, etc.) being serviced by staff supported with funding under this FOA.

The reports shall include key dates for the PUC work products, as well as the work products themselves. Actual work products may not necessarily be included if a summary of each with a URL link to the PUC website for the full work product is provided. For example, the name of any docket and a link to the docket itself may be provided.

D. DELIVERABLES

Note: These are the deliverables that will be included in the Grant award; however additional deliverables may be added to the Project Management Plan, if needed, to help better describe the project approach.

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 – ARRA Case Monitoring Reports (The initial Report is due six months after the award and subsequent reports are due thereafter on 3 month intervals.)

ATTACHMENT 3

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

1. Identification Number: DE-OE0000160	2. Program/Project Title: Recovery Act – State Electricity Regulators Assistance (NY)				
3. Recipient: State of New York					
4. Reporting Requirements: A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Special Status Report	Frequency Q,F	No. of Copies Electronic Version	Addressees https://www.eere-pmc.energy.gov/SubmitReports.aspx x		
B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/elink) Report/Product Form <input type="checkbox"/> Final Scientific/Technical Report DOE F 241.3 <input type="checkbox"/> Conference papers/proceedings* DOE F 241.3 <input type="checkbox"/> Software/Manual DOE F 241.4 <input type="checkbox"/> Other (see Special Instructions) DOE F 241.4 <i>* Scientific and technical conferences only</i>			http://www.osti.gov/elink-2413 http://www.osti.gov/elink-2413 http://www.osti.gov/estsc/241-4pre.jsp		
C. FINANCIAL REPORTING <input checked="" type="checkbox"/> SF-425, Federal Financial Report	Q,F	Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx x		
D. CLOSEOUT REPORTING <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other (see Special Instructions)	F	Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx x		
E. OTHER REPORTING <input checked="" type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory Report of Federally Owned Property, if any <input checked="" type="checkbox"/> Other Deliverables identified in the Statement of Project Objectives (e.g., PMP, Workforce Development Plan, EA Plan, etc.)	A A	Electronic Version Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx x https://www.eere-pmc.energy.gov/SubmitReports.aspx x		
F. AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING <input checked="" type="checkbox"/> Reporting and Registration Requirements	Q	Electronic Version	http://www.federalreporting.gov		
FREQUENCY CODES AND DUE DATES: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"> A - Within 5 calendar days after events or as specified. F - Final; 90 calendar days after expiration or termination of the award. Y - Yearly; 90 days after the end of the reporting period. </td> <td style="width: 50%; border: none;"> S - Semiannually; within 30 days after end of reporting period. Q - Quarterly; within 30 days after end of the reporting period. ARRA Reporting and Registration Requirements are due 10 days after the end of the reporting period. Quarters are based on Federal fiscal year (Oct 1 – Sep 30) </td> </tr> </table>				A - Within 5 calendar days after events or as specified. F - Final; 90 calendar days after expiration or termination of the award. Y - Yearly; 90 days after the end of the reporting period.	S - Semiannually; within 30 days after end of reporting period. Q - Quarterly; within 30 days after end of the reporting period. ARRA Reporting and Registration Requirements are due 10 days after the end of the reporting period. Quarters are based on Federal fiscal year (Oct 1 – Sep 30)
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5. Special Instructions: Forms are available at https://www.eere-pmc.energy.gov/forms.aspx .					

Federal Assistance Reporting Instructions (5/09)

A. MANAGEMENT REPORTING

Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.
5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
6. Cost Status. Show approved budget by budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.
7. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variance. You may use your own project management system to provide this information.
8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
11. A description of any product produced or technology transfer activities accomplished during this reporting period, such as:

- A. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement Cover Page.
- B. Web site or other Internet sites that reflect the results of this project.
- C. Networks or collaborations fostered.
- D. Technologies/Techniques.
- E. Inventions/Patent Applications
- F. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

B. SCIENTIFIC/TECHNICAL REPORTS

N/A

C. FINANCIAL REPORTING

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at http://www.whitehouse.gov/omb/grants/grants_forms.aspx.

D. CLOSEOUT REPORTS

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at <http://grants.pr.doe.gov>.

E. OTHER REPORTING

Annual Indirect Cost Proposal and Reconciliation

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs.

Cognizant Agency. The recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving indirect costs. If

the DOE awarding office is the cognizant agency, submit the annual indirect cost proposal to the DOE Administrator at the address listed in Block 16 of the Assistance Agreement Cover Page.

F. AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (RECOVERY ACT) REPORTING

Refer to the award term entitled, Reporting and Registration Requirements, of the Special Terms and Conditions for Grants and Cooperative Agreements for details on the reporting requirements under Section 1512 of the Recovery Act. The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

PROJECT MANAGEMENT PLAN

{Agreement Title}¹

{Date Prepared}

WORK PERFORMED UNDER AGREEMENT

DE-OE0000XXX

SUBMITTED BY

{Organization Name}

{Organization Address}

{City, State, Zip Code}

PRINCIPAL INVESTIGATOR

{Name}

{Phone Number}

{Fax Number}

{E-Mail}

SUBMITTED TO

U. S. Department of Energy

National Energy Technology Laboratory

Jay Hanna

Submitted through: <https://www.eere-pmc.energy.gov/SubmitReports.aspx>

¹NOTE: { } denotes required information.

1. EXECUTIVE SUMMARY

Provide a description of the project that includes the objective, project goals and expected results.

2. RISK MANAGEMENT

The Applicant (Recipient) shall provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. Since risk is inherent to all projects, regardless of the level of complexity, cost or visibility, project risk must be addressed to the appropriate level for every project

3. MILESTONE LOG

The Recipient is to provide milestones for the project. Each milestone is to include a title, planned completion date and a description of the method/process/measure used to verify completion. The milestones developed should be quantitative and show progression towards project goals.

Milestones are different than success criteria in that milestones typically show progress through the execution of the project, whereas success criteria are used by the DOE to determine if specific goals were met the completion of the project.

Format for the milestone log should be as follows:

- Title:** {Milestone Title}
- Planned Date:** {Planned Completion Date}
- Verification Method:** {Milestone Verification Method}

4. FUNDING AND COSTING PROFILE

The Recipient shall provide a table that shows, by year, the amount of government funding going to each project member and cost share provided (if applicable) by members. The table shall also calculate totals and cost sharing percentages. *The Funding Profile must be consistent with the approved budget in the Assistance Agreement (Attachment 4 of the Agreement).* Table 1 “Project Funding Profile” below is an example.

Table 1 – Sample Project Funding Profile

Budget Category	Year 1	Year 2	Total
Personnel			

Fringe Benefits			
Travel			
Equipment			
Supplies			
Contractual			
Other			
Total Direct Charges			
Indirect Charges			
Total			

The Recipient shall also provide a table that projects, by month, the expenditure of the government funds for each year. While it is recognized that out year costing profiles are less certain and the nature of specific tasks are dependent on successful or unsuccessful completion of the current RD&D approach, the Recipient should provide their estimates of out-year costs to the extent practical. Table 2 – “Project Spending Plan” provides an example.

Table 2 – Project Spending Plan

Monthly Spending Plan (Year 1)	
November	5

December	10
January	10
February	10
March	20
April	20
May	20
June	20
July	10
August	10
September	10
October	10
Total (\$s in thousands)	155

Note: Create one spend plan for each year during the project period (actual starting month may be different than in the example). Cost sharing is not required for this grant. However, recipients may reflect non-federal funds in the Project Funding Profile and as a separate column in the Project Spending Plan, if applicable. The Recipient may use calendar year, state or federal fiscal year, or any 12-month project cycle to depict the Funding Profile and Spending Plan, so long as the 12-month cycle is apparent to the reader of the Project Management Plan.

5. PROJECT TIMELINE

The Recipient shall provide a timeline of the project broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline shall include for each task, a start date, end date, and team members participating on the task and their role. The timeline shall also show any interdependencies with other tasks and note the milestones identified in the Milestone Log (Section 3). The Project Timeline may be in the form of a table or a Gantt chart.

6. STATEMENT OF PROJECT OBJECTIVES

The Statement of Project Objectives (SOPO) from the Assistance Agreement will be inserted here.