

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U. S. Department of Energy  
Richland Operations Office**

**Recovery Act – Workforce Training for the Electric Power  
Sector**

**Funding Opportunity Number: DE-FOA-0000152**

**Announcement Type: Initial**

**CFDA Number: 81.122**

<b>Issue Date:</b>	<b>09/21/2009</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>11/30/2009 at 3:00:00 PM E.S.T.</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 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.

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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## Section 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 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 to 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**

### **Purpose/Objective**

The objective of this Funding Opportunity Announcement (FOA) is to facilitate the development of a well-trained, highly skilled electric power sector workforce which is vital to implementing a national clean-energy smart grid.

### **Background**

The American Recovery and Reinvestment Act of 2009 (ARRA) includes funding for electricity sector activities and initiatives that will significantly affect utility investment in the electric power sector, thereby contributing to job creation, preservation and economic recovery. This includes support for implementation of Smart Grid programs authorized under Title XIII of the Energy Independence and Security Act of 2007, as well as regional transmission planning and other activities to modernize the electric system. These efforts are critical to achieving the nation's ambitions for renewable energy development, electric vehicle adoption, and energy efficiency improvements. Building and maintaining an adequate, knowledgeable workforce to keep pace with this demand, especially given existing skills shortages in the power sector, requires an increased commitment to training and workforce development.

Achievement of a national smart grid will require extensive workforce training. Lineworkers and technicians, for example, need to become familiar with "intelligent" grid systems, including advanced measurement and sensing technologies, communications, and controls. System planners, reliability coordinators, and control room operators must learn how to use richer information streams from digital networks throughout the grid. Utility control system administrators must understand the latest cyber security techniques.

In addition, the United States' capability to manufacture the electrical equipment and new technology needed to achieve a national clean-energy smart grid hinges on successful establishment of a manufacturing workforce that can support the changing electricity industry. Manufacturing workers need training in new manufacturing techniques and processes required for building smart grid components. Strategic investment in training and workforce development for providers of equipment for electric power systems will build manufacturing leadership amidst international competition by updating workforce skills and fostering innovation to maintain the United States' lead in technological advancement.

### **Topic Areas of Interest**

This FOA covers two broad topics. Topic A is Developing and Enhancing Workforce Training Programs for the Electric Power Sector. Topic B is Smart Grid Workforce Training. This FOA supports the development and deployment of Training Program(s), as well as the actual training of personnel. However, Federal funds shall NOT be used to support construction of training facilities (e.g. building infrastructure).

DOE seeks applications that will support and greatly expand job creation and career advancement opportunities within the utility industry and the electric power system equipment manufacturing sector. Job categories include technicians and skilled workers, as well as utility energy efficiency program staff, cyber security experts, transmission planners, and system operators.

Applications shall address how they positively impact displaced workers, increase per capita income, build career ladders and training opportunities, expand domestic supply chains for smart grid technologies and services, and/or enhance sustainable economic growth in currently economically depressed regions and communities.

Interested parties may submit applications for more than one topic area, but an applicant doing so must submit a separate application for each award being sought. Applications will only compete with others in the Topic to which they are submitted.

### **Topic A, Developing and Enhancing Workforce Training Programs for the Electric Power Sector**

In Topic A, applications are sought that develop new training strategies and programs for the electric power sector, with focus on achieving a national, clean-energy smart grid. This includes the entire electricity delivery system, both transmission and distribution, as well as related electrical equipment manufacturing.

Applications shall identify specific job classification(s) that will be targeted for training, and the skills deficiencies that will be addressed through the workforce improvement efforts. This may reflect needs identified from, but not limited to, organizational assessments, field surveys and workforce training evaluations. Long-term workforce challenges may be highlighted, but the emphasis should be on the next five years. Discussion shall include an assessment of the employment demand for that job (and/or improved skills) in the electric power sector and/or the supporting manufacturing base.

New training programs must address identified gaps in training needs, with respect to any combination of curriculum, capacity and accessibility of current training opportunities. Applications shall include a comprehensive overview of training practices in use today for the specified job classification(s), and address how the new training strategy would enhance the training experience. Lack of access to existing training activities (e.g. geographic constraint) may also be considered a training gap; in this case, it is incumbent upon the applicant to show why the constraint can not be overcome without intervention through the proposed project.

The applicant shall discuss the considerations that were made in determining the geographic location for the training program. This should focus on concerns deemed important to the training program's success, or considered beneficial to the region. For example, a training program may select a particular location based on proximity to an existing skilled workforce or the maturity of smart grid deployment in that region.

The Applicant must

- Demonstrate familiarity with the electric power system and needed workforce skill sets
- Explain why skills deficiencies exist and why they are not currently being met
- Possess the necessary expertise and resources to support specialized training in smart grid technologies (if applicable), or clearly demonstrate a plan and ability to obtain these resources
- Provide clear pathways for skill development and achieving industry-recognized credentialing, such as registered apprenticeships, degrees, or certificates
- Demonstrate ability to or discuss approach/plan to enhance transportability of credentials geographically and within all segments of the industry
- Demonstrate ability to or discuss approach/plan to expand the training capacity to rapidly meet the demand for skilled smart grid workers
- Demonstrate ability to or discuss approach/plan to build awareness about the training programs and smart grid careers
- Demonstrate ability to or discuss approach/plan to establish and maintain strong partnerships with electric power companies and/or smart grid technology manufacturers and demonstrate how these partnerships will enhance national training efforts
- Demonstrate ability to or discuss approach/plan to maintain effective relationships with State agencies, local communities, and other stakeholders to help shape future training partnerships and opportunities

### ***Strategic Training and Education in Power Systems (STEPS)***

[NOTE: STEPS is a subtopic within Topic A, however, applications to STEPS will be separately evaluated from the other applications in Topic A. Applicants choosing to apply to this focused subtopic shall address the items listed above and the criteria in Section V.A.]

Building, operating, and maintaining a modern electricity system to integrate renewable energy sources and to address carbon and environmental concerns will require redefinition of the key elements of a foundational education in electric power systems. For example, more knowledge of power electronics, and information and communications technologies will be needed, in addition to subject areas such as policy and economics. The objective of STEPS is to support educators at universities and colleges (including community colleges) in developing new curricula and training activities in areas most relevant to the achievement of a next-generation

electric power workforce with solid technical understanding and innovativeness to address our energy challenges and to ensure U.S. global leadership. Applications are sought that develop cross-disciplinary electric power systems training programs at the university and college-level, that lead to degrees or certificates that span the breadth of science, engineering, social science, economics, and other topics needed by scientists, engineers, innovators, entrepreneurs, and industry leaders as the traditional power system transforms into a national, clean-energy smart grid. Applications may also include development of certificate programs for training technicians and teachers in science, technology, engineering and math (STEM) subjects, with a focus on electric power systems.

### **Topic B, Smart Grid Workforce Training**

In Topic B, applications are sought that provide training for electric power sector personnel, necessary for successful achievement of a national, clean-energy smart grid. This includes the entire electricity delivery system, both transmission and distribution, as well as related electrical equipment manufacturing. Training assistance is NOT limited to the training programs identified in Topic A; for instance, funding can support activities within existing training programs or alternative approaches.

Individuals eligible for training include workers that: 1) increase the workforce capacity and capability of electric power companies and smart grid technology manufacturers to implement ARRA electricity-related activities; 2) address skills shortages in the power sector, especially in the area of transmission planners, system operators, utility energy efficiency staff, lineworkers, electricians, technicians, and other skilled trades; and/or 3) need updated training to support a national, clean-energy smart grid.

Applications must identify and quantify, where appropriate, the workforce challenges/gaps that need to be addressed in terms of acquiring/hiring, retaining, and training personnel. Applications shall specify job classification(s) that will be targeted for training, and the skills deficiencies that will be addressed through the training. This may reflect needs identified from, but not limited to, organizational assessments, field surveys and workforce training evaluations. Applications must outline a training plan to build the needed capacity and/or capability as funded by this FOA.

In addition, applications must assess the project's economic impact over the life of the project period, and be based on quantitative data (e.g. nature and type of position; duration of employment; salary). This discussion includes: a) number of trained personnel hired by the electric power companies and/or smart grid technology manufacturers attributable to the performance of the project; b) number of individuals trained in smart grid-related topical areas, resulting in increased per capita income and/or enhanced career opportunities attributable to the performance of the project; and c) any other direct economic recovery impacts attributable to the performance of the project. During the period of performance for the project, the Project Management Plan (see Section IV.C.2) and quarterly Progress Reports must track and report on progress towards the performance objectives (e.g. personnel hired and/or trained) that were identified in the economic assessment.

While DOE recognizes that certain details of the proposed workforce strategy may be corporate sensitive, addressing the major workforce challenges facing the electric industry (including development of national smart grid training programs) requires open communication and cooperation with a variety of stakeholders (e.g. other utilities and/or manufacturers; training institutions; community colleges; States). Therefore, as part of the application, the applicant shall describe how it intends to disseminate lessons learned.

Applications must include commitment letters (see Section IV.C.2) from electric power companies, labor organizations (with qualified apprenticeship programs), and/or smart grid technology manufacturers. These letters shall discuss the role of the team member in achieving the performance objectives (e.g. direct personnel trained; new employees hired).

Electric power companies include, but are not limited to: investor-owned utilities; municipal utilities and public utility districts; electric cooperatives; Power Marketing Administrations (PMAs) and Tennessee Valley Authority; transmission owners and operators; regional organizations such as independent system operators, transmission organizations, and electricity coordinating councils; independent power producers; national-level utility organizations, associations and groups; and other types of load-serving entities.

## Section II - AWARD INFORMATION

### A. TYPE OF AWARD INSTRUMENT

- DOE anticipates awarding cooperative agreements under this program announcement (See Section VI.B.2 Statement of Substantial Involvement).

### B. ESTIMATED FUNDING

#### Amount New Awards

- Approximately \$100,000,000 is expected to be available for new awards under this announcement.

### C. MAXIMUM AND MINIMUM AWARD SIZE

The Federal funds for this program have been divided into two Topics:

- Topic A, Developing and Enhancing Workforce Training Programs for the Electric Power Sector, in which the Federal share is up to \$750,000 per award.

Federal share for the sub-topic identified in Topic A, *Strategic Training and Education in Power Systems (STEPS)*, is up to \$2,500,000 per award.

- Topic B, Smart Grid Workforce Training, in which the Federal share is up to \$5,000,000 per award.

### D. EXPECTED NUMBER OF AWARDS

#### Number of Awards

- Under this announcement, DOE expects to make the following number of awards for each Topic:

Topic	Title	Estimated Number of Selections Anticipated
A	Developing and Enhancing Workforce Training Programs for the Electric Power Sector	25-35 (including 8-10 in STEPS)
B	Smart Grid Workforce Training	15-20

### E. ANTICIPATED AWARD SIZE

The anticipated award size for projects under each Topic in this announcement is:

Topic	Title	Anticipated Award Size (Government Funding)
A	Developing and Enhancing Workforce Training Programs for the Electric Power Sector	\$35 to 40M <u>total</u> for 25-35 awards <u>(including \$20M for STEPS)</u>
B	Smart Grid Workforce Training	\$60 to 65M <u>total</u> for 15-20 awards

**F. PERIOD OF PERFORMANCE**

The period of performance for projects in this announcement is up to three years.

**G. TYPE OF APPLICATION**

DOE will accept only new applications under this announcement.

## Section III - ELIGIBILITY INFORMATION

### A. ELIGIBLE APPLICANTS

#### Domestic Entities excluding Federal Agencies, FFRDC and Non Profit

- All types of domestic entities are eligible to apply, except other Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

Power Marketing Administrations (PMAs) and Tennessee Valley Authority (TVA) may apply for a lead or prime role. Other Federal agencies, DOE's national laboratories, and all Federally Funded Research and Development Centers (FFRDCs) are eligible only for supporting roles.

### B. COST SHARING {or MATCHING}

#### Cost Share %

For Topic A, the cost share must be at least 20% of the total allowable costs of the project (i.e., the sum of the recipient's allowable costs and the Federal Government share equals the total allowable costs of the projects) and must come from non-Federal sources unless otherwise allowed by law. However, DOE will accept cost share of not less than 10% for academic institutions.

For Topic B, the cost share must be at least 50%, and must come from non-Federal sources unless otherwise allowed by law.

In projects that include support from a DOE national laboratory or other FFRDC, the applicant's cost share requirement will be based on the total cost of the project, including the Applicant's and the FFRDC contractor's portions of the effort.

### C. OTHER ELIGIBILITY REQUIREMENTS

#### FFRDC

**Federally Funded Research and Development Center (FFRDC) Contractors.** FFRDC contractors may be proposed as a team member on another entity's application subject to the following guidelines:

**Authorization for non-DOE/NNSA FFRDCs.** The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the application. The use of a FFRDC contractor must be consistent with the contractor's authority under its award and must not place the FFRDC contractor in direct competition with the private sector.

**Authorization for DOE/NNSA FFRDCs.** The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE/NNSA FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the [Name] Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory, will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

**Value/Funding.** The value of, and funding for, the FFRDC contractor portion of the work will not normally be

included in the award to a successful applicant. Usually, DOE/NNSA will fund a DOE/NNSA FFRDC contractor through the DOE field work proposal system and other FFRDC contractors through an interagency agreement with the sponsoring agency.

Cost Share. The applicant's cost share requirement will be based on the total cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

FFRDC Contractor Effort:

- The scope of work to be performed by the FFRDC contractor may not be more significant than the scope of work to be performed by the applicant.
- The FFRDC contractor effort, in aggregate, shall not exceed 25% of the total estimated cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

Responsibility. The applicant (TEAM LEAD), if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the applicant and the FFRDC contractor.

## Section 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

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 Recovery and Reinvestment Act.**

#### 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.

## 2. 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 not exceed 35 pages, single spaced,** including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point. **EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. See Section VIII.D for instructions on how to mark proprietary application information. Save the information in a single file. If applying to Topic A, identify the filename as "ProjectA.pdf; if applying to Topic B, identify the filename as "ProjectB.pdf". Click on "Add Mandatory Other Attachment" to attach.

The project narrative must include:

- **Topic Area:** The Applicant shall identify the topic to which they are applying. In addition, if applying to Topic A, the Applicant must clearly state whether it is for STEPS.
- **Summary Information:** This section must list the following items in either a table or bulleted format: 1) Project Name / Title; 2) Lead Organization – Name of company submitting proposal; 3) Lead Organization Category (e.g. utility, university, etc); 4) Collaborating Organizations and associated contact [For those organizations providing cost share, the cost share percentage should be specified. If a university is involved, list all people associated with the project.]; 5) Lead project manager / principal investigator; 6) Authorized representative (for contractual issues); 7) Project duration in months; 8) Project funding – broken down by Federal/applicant/collaborators (if applicable)
- **Project Objectives:** This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- **Merit Review Criterion Discussion:** The section should be formatted to address each of the merit review criterion and sub-criterion listed in Section V.A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. **DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION.**
- **Roles of Participants:** For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed.
- **Facilities and Other Resources:** Identify the facilities (e.g., office, laboratory, computer, etc.) to be used at each performance site listed and, if appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the other resources available to the project.
- **Equipment:** List important items of equipment already available for this project and, if appropriate, note the location and pertinent capabilities of each. If you are proposing to acquire equipment, describe comparable equipment, if any, already at your organization and explain why it cannot be used.

- **Bibliography & References Cited Appendix:** Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. In order to reduce the number of files attached to your application, please provide the Bibliography and References Cited information as an appendix to your project narrative. Do not attach a file. This appendix **WILL NOT COUNT** in the project narrative page limitation.

### **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) [select single spaced] 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.

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

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. 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 Section IV, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

### **Budget Justification File**

You must justify the costs proposed in each Object Class Category/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/consultant work and cost of each subaward/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/oversight agency, if you have one, and the name and phone number of the individual responsible for negotiating your indirect rates. If cost sharing is required, you must have a letter from each third party contributing cost sharing (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost sharing. 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 \$100,000 or 50 percent of the total work effort (which ever is less). Use the SF 424 A Excel for Non 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.

### **Budget for DOE/NNSA Federally Funded Research and Development Center (FFRDC) Contractor, if applicable**

If a DOE/NNSA FFRDC contractor is to perform a portion of the work, you must provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System. This order and the DOE Field Work Proposal form are available at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). Use up to 10 letters of the FFRDC name (plus .pdf) as the file name (e.g., lanl.pdf or anl.pdf), and click on "Add Optional Other Attachment" to attach.

### **Project Management Plan**

This plan should be formatted to include the following sections with each section to include the information as described below:

#### ***(BEGINNING OF PROJECT MANAGEMENT PLAN)***

**A. *Executive Summary:***

*Provide a description of the project that includes the objective, project goals, and expected results. For purposes of the application, this information is included in the Project Narrative and should be simply copied to this document for completeness, so that the Project Management Plan is a stand-alone document.*

**B. *Risk Management:***

*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. As a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.*

**C. *Milestone Log:***

*Provide milestones for each budget period (or phase) of the project. Each milestone should include a title and planned completion date, Milestones should be quantitative and show progress toward budget period and/or project goals.*

*[Note: During project performance, the Recipient will report the Milestone Status as part of the required quarterly Progress Report as prescribed under Reporting Requirements Checklist. The Milestone Status will present actual performance in comparison with Milestone Log, and include:*

- (1) the actual status and progress of the project,*
- (2) specific progress made toward achieving the project's milestones, and,*
- (3) any proposed changes in the project's schedule required to complete milestones. ]*

**D. *Funding and Costing Profile:***

*Provide a table (the Project Funding Profile) that shows, by budget period, the amount of Government funding going to each project team member. Also provide a table (the Project Costing Profile) that projects, by month, the expenditure of Government funds for the first budget period, at a minimum.*

**E. *Project Timeline:***

*Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include the milestones that are identified in the Milestone*

Log (Section C).

**F. Success Criteria at Decision Points:**

*Provide success criteria for each decision point in the project, including go/no-go decision points and the conclusions of budget periods and the entire project. The success criteria should be objective and stated in terms of specific, measurable, and repeatable data. Usually, the success criteria pertain to desirable outcomes, results, and observations from the project.*

**(END OF PROJECT MANAGEMENT PLAN)**

Save this plan in a single file named “PMP.pdf,” and click on “Add Optional Other Attachment” to attach.

**Commitment Letters**

If a third party, (i.e. a party other than the organization submitting the application) proposes to provide cost sharing, the applicant must include a letter from the third party stating that it is committed to providing a specific minimum dollar amount of cost sharing. The letter should also identify the proposed cost sharing (e.g., cash, services, and/or property) to be contributed. Letters must be signed by the person authorized to commit the expenditure of funds by the entity and be provided in a PDF format.

The applicant must also include letters from project team members not proposing cost share indicating their willingness to serve in the role described in the application. Letters must be signed by a person authorized to commit the team member to participating on the team. The letter must be provided in a PDF format.

Save this information in a single file named “Commit.pdf” and click on “Add Optional Other Attachments” 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. DOE’s regulations that implement NEPA require it to determine whether a proposal requires that an EIS, an Environmental Assessment (EA), or a Categorical Exclusion (CX) be prepared. An EA is a concise public document that provides sufficient evidence and analysis for determining whether to prepare an environmental impact statement or a finding of no significant impact. A CX refers to a category of actions that DOE has determined do not individually or cumulatively have a significant effect on the human environment. As such, DOE need not prepare an EA or an EIS for categorically excluded actions.

Based on OE’s review of the projects contained within this FOA, OE has determined that the proposed action fits within the specified class of actions CXed from further NEPA review (OE Record of CX Determination Attached).

### 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:

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	See Instructions
Project Summary/Abstract File	PDF	Summary.pdf
SF 424 A Excel, Budget Information – Non-Construction Programs File	Excel	SF424A.xls
Budget Justification File	PDF	Budget.pdf
Subaward Budget File(s), if applicable	Excel	See Instructions
Budget for FFRDC Contractor, if applicable	PDF	See Instructions
Project Management Plan	PDF	PMP.pdf
Commitment Letters	PDF	Commit.pdf
ARRA 2009 Prevailing Wage Information	PDF	ARRAWage.pdf
NEPA	N/A	See Instructions
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A

#### 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)
- Representation of Limited Rights Data and Restricted Software, if applicable
- Commitment Letter from Third Parties Contributing to Cost Sharing, if applicable

#### E. SUBMISSION DATES AND TIMES

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

- Pre-applications Are Not Required

## **2. Application Due Date**

### **Applications Due Date 3:00 PM Eastern Standard Time**

- Applications should be received by November 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**

##### **FedConnect**

**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_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.

## Section V - APPLICATION REVIEW INFORMATION

### A. CRITERIA

#### 1. Initial Review Criteria

##### Application Award Eligibility

- Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement.

#### 2. Merit Review Criteria

Applications submitted in response to this FOA that pass the Initial Review shall be evaluated and scored for each Topic Area applied for in accordance with the criteria and weights listed below:

##### **CRITERION 1: ASSESSMENT OF NEED – 20%**

- Comprehensiveness of assessment conducted to clearly demonstrate the need for workforce training.
- Adequacy, completeness, and relevance of data sources and analysis to the targeted industry (e.g. manufacturing; utility) and occupations.
- Comprehensiveness of assessment to promote and enhance the objectives of the American Recovery and Reinvestment Act of 2009, especially job creation and preservation and economic recovery.
- Completeness of data and/or evidence to describe and support selection of local areas or communities where training programs will be established and/or participants will be trained and employed.

##### **CRITERION 2: TECHNICAL APPROACH – 35%**

- Adequacy to which the proposed project will address the stated need or problem.
- Comprehensiveness of the project to adequately address all areas identified in the applicable Topic.
- Completeness of the work plan to outline the training strategy and describe how the proposed project will fully address the needs of workers and employers in the industry.
- Degree to which the proposed project can expeditiously begin or expand training and employment opportunities.
- Viability of the proposed project and likelihood of success.
- For Topic A, degree of innovation as compared to training practices in use today.

##### **CRITERION 3: SIGNIFICANCE AND OUTCOME – 30%**

- Likelihood of the applicant to attract, retain, and/or place workers in jobs after training.

- Adequacy of partnerships with utilities and/or manufacturers to enhance training programs, training experience, and/or job placement.
- Extent to which the expected project outcomes are clearly identified, and measurable, realistic and consistent with the objectives of the project.
- Appropriateness of the outcomes with respect to the requested level of funding.
- Likelihood of the applicant to achieve the stated outcomes and report results within the stated timeframe.
- Extent to which the project supports the objectives of the American Recovery and Reinvestment Act of 2009 in an expeditious manner.
- Degree to which training activities, and related employment opportunities, will be sustainable beyond the project period of performance.
- Ability and comprehensiveness of applicant's plan to assess project results, and make recommendations for program improvements to affect future training/employment outcomes in the industry.
- Extent to which the applicant plans to disseminate lessons learned and work collaboratively with others (non-project partners).
- For Topic B, completeness of the assessment of economic impact.

**CRITERION 4: ROLES, RESPONSIBILITIES AND CAPABILITIES – 15%**

- Degree to which the applicant demonstrates sound project management principles and plans for project oversight in its Project Management Plan.
- Quality and relevance of the capabilities, experience, qualifications and credentials of key personnel to support the proposed project.
- Adequacy of the letters of commitment for each team member's participation and/or cost share.
- Adequacy of infrastructure and resources, including the capabilities of the Applicant and Participants, to comprehensively address all aspects of the proposed work.

**3. Other Selection Factors**

**Program Policy Factors**

The selection official shall consider the following program policy factors in the selection process: These factors, while not indicators of the Application's merit (e.g., technical excellence, cost, Applicant's ability, etc.) may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Therefore, the following Program Policy Factors may be used by the Selection Official to assist in determining which of the ranked application(s) shall receive DOE funding support.

1. It may be desirable to select projects from a diversity of types and/or sizes of organizations. This includes, but is not limited to, limiting the number of applications selected from one applicant

- organization.
2. It may be desirable to select a group of projects which represent a diversity of methods, job classifications, approaches, applications, locations, or kinds of work, which, when taken together, will best achieve the training goals and objectives.
  3. It may be desirable to select projects for award that will complement or enhance existing or planned work identified by DOE.
  4. It may be desirable to select project(s) for award of less technical merit than other project(s) if such a selection will optimize use of available funds by allowing more projects to be supported without detriment to the overall objectives of the program.
  5. It may be desirable to select project(s) that reduce Federal investment and maximize industry commitment as demonstrated by cost share levels or other resource leveraging (e.g., in-kind contributions) that exceed the required cost share.

## **B. REVIEW AND SELECTION PROCESS**

### **1. Merit Review**

#### **Applications Subject to Merit Review**

- Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance." This guide is available under Financial Assistance, Regulations and Guidance at <http://www.management.energy.gov/documents/meritrev.pdf>.

### **2. Selection**

#### **Selection Official Consideration**

- The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

### **3. Discussions and Award**

#### **Government Discussions with Applicant**

- The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

## **C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

### **Selection and Award Date**

DOE anticipates notifying applicants selected for award by January 30, 2010.

## **Section VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. Notice of Selection**

##### **Selected Applicants Notification**

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Section IV.G with respect to the allowability of pre-award costs.)

##### **Non-selected Notification**

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### **2. 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/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.

For grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110 the Award also includes the Research Terms and Conditions located at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

### **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).

### **Statement of Substantial Involvement**

Awards under this Announcement will be cooperative agreements. The DOE Specialist and DOE Project Officer will negotiate a Statement of Substantial Involvement prior to award.

### **C. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. For a sample Checklist, see <http://management.energy.gov/documents/DOEF46002PolicyVersion.pdf>.

Also see [http://management.energy.gov/policy\\_guidance/1672.htm](http://management.energy.gov/policy_guidance/1672.htm) for Recovery Act terms, conditions, and reporting requirements.

## Section 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. 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. As the application deadline approaches, DOE cannot ensure all questions will be answered within the last five business days of the FOA posting.

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.

### B. AGENCY CONTACT

Name: John J. Wiltshire  
E-mail: [John.J.Wiltshire@RL.gov](mailto:John.J.Wiltshire@RL.gov)  
Phone: (509) 376-4833

## **Section 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.

### **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.

### **D. PROPRIETARY APPLICATION INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

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

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

"The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation."

### **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

### **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM**

Rights in Technical Data. Normally, the Government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE's own needs or to

insure the commercialization of technology developed under a DOE agreement.

#### **Program Covered Under Special Protected Data**

Special Protected Data Statutes. This program is covered by a special protected data statute. The provisions of the statute provide for the protection from public disclosure, for a period of up to 5 years from the development of the information, of data that would be trade secret, or commercial or financial information that is privileged or confidential, if the information had been obtained from a non-Federal party. Generally, the provision entitled, Rights in Data Programs Covered Under Special Protected Data Statutes (10 CFR 600 Appendix A to Subpart D), would apply to an award made under this announcement. This provision will identify data or categories of data first produced in the performance of the award that will be made available to the public, notwithstanding the statutory authority to withhold data from public dissemination, and will also identify data that will be recognized by the parties as protected data.

#### **G. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

#### **LIST OF ATTACHMENTS**

##### **Attachment 1: Record of Categorical Exclusion (CX) Determination**

## Attachment 1



### Department of Energy Washington, DC 20585

#### RECORD OF CATEGORICAL EXCLUSION (CX) DETERMINATION

**OFFICE:** Office of Electricity Delivery and Energy Reliability (OE)

**STIMULUS PROPOSAL:** Workforce Development

**BACKGROUND:** The National Environmental Policy Act (NEPA) requires federal agencies to prepare Environmental Impact Statements (EISs) for every recommendation or report on proposals for legislation and other major federal actions significantly affecting the quality of the human environment.

The Department of Energy's (DOE's) regulations that implement NEPA require it to determine whether a proposal (in this case the proposal to fund third party workforce development and training) requires that an EIS, an Environmental Assessment (EA), or a Categorical Exclusion (CX) be prepared. An EA is a concise public document that provides sufficient evidence and analysis for determining whether to prepare an environmental impact statement or a finding of no significant impact. A CX refers to a category of actions that DOE has determined do not individually or cumulatively have a significant effect on the human environment. As such DOE need not prepare and EA or an EIS for categorically excluded actions.

All of DOE's CXs are listed at 10 CFR 1021, Appendices A and B to Subpart D. The use of CXs provides a way for DOE to streamline the NEPA review process and preserve its resources for environmentally significant proposals. The CXs are applicable to all DOE "actions" which by definition include projects funded by DOE but undertaken by a third party. DOE regulations define "action" to include "a project . . . as discussed at 40 CFR §1508.18, that is subject to DOE's control and responsibility." 10 CFR §1021.104(b). The CEQ regulations at 40 CFR §1508.18 define major federal action to include "projects and programs entirely or partly financed, assisted, conducted, regulated, or approved by federal agencies."

In order to conclude that a proposed action is categorically excluded, DOE is required by regulation to first determine that: 1) the action fits within a categorical exclusion, 2) there are no extraordinary circumstances related to the action that may affect its significance, and 3) the action is not connected to other actions with potentially significant impacts.

In this CX Determination, DOE describes the proposed action and explains why it is categorically excluded.

**PROPOSED ACTIONS:** This proposal covers two broad topics. Topic A is Developing and Enhancing Workforce Training Programs for the Electric Power Sector. Topic B is Smart Grid Workforce Training. This project supports the development and deployment of Training Program(s), as well as the actual training of personnel. However, Federal funds will not be used to support construction of training facilities (e.g. building infrastructure). This funding also provides vocational educational support and training in necessary trade skills areas, for example power line installation and maintenance, critical to expanding and maintaining the transmission and distribution grid

**CX TO BE APPLIED:** The proposal identified above fits within the class of actions that are listed in appendix A to subpart D of Part 1021- Categorical exclusions applicable to specific agency actions. Specifically,

A1 Routine actions necessary to support the normal conduct of agency business, such as administrative, financial, and personnel actions.

A9 Information gathering (including, but not limited to, literature surveys, inventories, audits), data analysis (including computer modelling), document preparation (such as conceptual design or feasibility studies, analytical energy supply and demand studies), and dissemination (including, but not limited to, document mailings, publication, and distribution; and classroom training and informational programs), but not including site characterization or environmental monitoring.

**RATIONALE:** The planned activities will involve the utilization of existing facilities and infrastructure to accomplish the goal of a Smart Grid workforce. The actions identified in the CXs above have been determined by DOE in the past to not individually or cumulatively have a significant effect on the human environment.

**DETERMINATION:** Based on OE's review of the above information concerning the proposed action, as NEPA Compliance Officer (as authorized under DOE Order 451.1A), I have determined that the proposed action fits within the specified class of actions, other regulatory requirements set forth above are met, and the proposed action is hereby categorically excluded from further NEPA review.

Signature:   
Brian Mills  
NEPA Compliance Officer  
Office of Electricity Delivery  
and Energy Reliability

Date: Aug 26, 2005