

ASSISTANCE AGREEMENT

1. Award No. DE-OE0000318		2. Modification No.		3. Effective Date 04/01/2010		4. CFDA No. 81.122		
5. Awarded To PORTLAND, CITY OF Attn: GREG LOCATI 1120 SW FIFTH ROOM 1250 PORTLAND OR 972041986				6. Sponsoring Office U.S. DOE/NETL Morgantown Campus 3610 Collins Ferry Road PO Box 880 Morgantown WV 26507-0880			7. Period of Performance 04/01/2010 through 03/31/2012	
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other		9. Authority 31 USC 6304 - See Page 2 10 USC 2358			10. Purchase Request or Funding Document No. 10OE000323			
11. Remittance Address PORTLAND, CITY OF Attn: GREG LOCATI 1120 SW FIFTH ROOM 1250 PORTLAND OR 972041986				12. Total Amount Govt. Share: \$276,099.00 Cost Share : \$0.00 Total : \$276,099.00		13. Funds Obligated This action: \$276,099.00 Total : \$276,099.00		
14. Principal Investigator Patty Reuter 503-823-3809		15. Program Manager Katherine T. Kweder Phone: 304-285-4039			16. Administrator U.S. DOE/NETL Morgantown Campus 3610 Collins Ferry Road PO Box 880 Morgantown WV 26507-0880			
17. Submit Payment Requests To Payment - Direct Payment from U.S. Dept of Treasury			18. Paying Office Payment - Direct Payment from U.S. Dept of Treasury			19. Submit Reports To See Attachment 3		
20. Accounting and Appropriation Data								
21. Research Title and/or Description of Project RECOVERY ACT - LOCAL ENERGY ASSURANCE PLAN (LEAP) - PORTLAND, OR								
For the Recipient				For the United States of America				
22. Signature of Person Authorized to Sign				25. Signature of Grants/Agreements Officer				
23. Name and Title		24. Date Signed		26. Name of Officer John R. Golovach		27. Date Signed		

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CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-OE0000318PAGE OF
2 10

NAME OF OFFEROR OR CONTRACTOR

PORTLAND, CITY OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 054971197</p> <p>DOE Award Administrator: Sue Miltenberger 304-285-4083 susan.miltenberger@netl.doe.gov</p> <p>Recipient Business Officer: Andreea Codoran 503-823-6944 andreea.codorean@portlandoregon.gov</p> <p>Block 9 Authority: PL 95-91 DOE Organization Act and PL 111-5 American Recovery and Reinvestment Act of 2009</p> <p>The administrative office (administrative contracting activity) for this award is 02605. The administrative office (administrative contracting activity) code is needed by the Recipient for reporting to FederalReporting.gov concerning awards made with funding from the American Recovery and Reinvestment Act of 2009 (ARRA or Recovery Act).</p> <p>ASAP: Yes Extent Competed: COMPETED Davis-Bacon Act: NO</p> <p>Fund: 05846 Appr Year: 2009 Allottee: 31 Report Entity: 220530 Object Class: 41000 Program: 3123765 Project: 2006080 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0328</p>				

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JULY 2004

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Attachment 1**Intellectual Property Provisions (NRD-1003)
Non-research and Development**

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

The DOE has the right to:

- (1) Obtain, reproduce, publish or otherwise use the data first produced under this award; and
- (2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

The following applies only to nonprofit organizations:

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

The following definitions apply for purposes of the above paragraph:

- (1) Research data is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This "recorded" material excludes physical objects (e.g., laboratory samples). Research data also do not include:
 - a. Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and
 - b. Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.
- (2) Published is defined as either when:
 - a. Research findings are published in a peer-reviewed scientific or technical journal; or
 - b. A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.
- (3) Use by the Federal Government in developing an agency action that has the force and effect of law is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

Recovery Act – Local Energy Assurance Plan (LEAP) – Portland, OR**STATEMENT OF PROJECT OBJECTIVES (SOPO)****A. OBJECTIVES**

The initiative will focus on building regional energy assurance capability to allow Cities to better coordinate and communicate state-wide and with one another, on energy security, reliability, and emergency response issues. The objectives of this initiative are to: 1) strengthen and expand local government energy assurance planning and resiliency, (2) reduce the impacts from energy supply disruptions, and (3) create jobs and save jobs in energy assurance planning at the city level.

B. TASKS TO BE PERFORMED**Task 1.0 - Project Management Plan**

The Recipient shall prepare and maintain a Project Management Plan (PMP). The PMP shall detail the work elements required to manage and report on activities in accordance with the ARRA and grant requirements. This PMP shall also document the project plan, schedule and project budget for carrying out all Tasks and completing all Deliverables under this Grant. It is anticipated that the PMP will be periodically revised during the performance period, but should at all times provide sufficient detail to plan, carry out and monitor all project activities.

Task 2.0 – Workforce Development Plan

The Workforce Development Plan (WDP) shall document the jobs created or saved as a direct result of this grant. The WDP shall be revised as necessary to provide the status of its implementation and any changes to the WDP during the course of the project.

Task 3.0 – Energy Assurance Planning

The Energy Assurance Plan (new or revised) shall be modeled after the Local Energy Assurance Guidelines (<http://www.pti.org/docs-sust/LocalGovernmentEnergyAssuranceGuidelines.pdf>) developed by Public Technology Institute (PTI) and DOE Office of Electricity Delivery and Energy Reliability (OE). The Energy Assurance Plan should incorporate response actions for new energy portfolios, including Smart Grid technologies, and be integrated with the respective State Energy Assurance Plan. Energy assurance planning will be coordinated with appropriate entities, such as the emergency management office, homeland security office, fire departments, public utility commissions, state energy office, private sector utilities, etc.

Task 4.0 - Energy Assurance Plan Implementation Activities - The revised EA plan will have special emphasis on the following:

Subtask 4.1 – Conduct an internal assessment of City's energy capability in accordance with the Assessment Tool and link findings with other City plans.

Subtask 4.2 – Develop a schedule of meetings for key stakeholders, to involve a Steering Committee of discipline-specific representatives, to address findings, critical issues, and recommend implementation steps.

Subtask 4.3 – Establish a mechanism for ongoing communication, information sharing and collaboration with local and state agencies on energy assurance initiatives.

Subtask 4.4 – Investigate the incorporation of Renewable Energy Resources and New Technologies into the City's Energy Assurance Plan.

Task 5.0 – Conduct/Participate in an Energy Assurance Table top Exercise(s) and incorporate lessons learned into the city's energy assurance plan.

B. DELIVERABLES

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

Deliverable 1.0 – Project Management Plan (PMP) (PMP due 45 days following award and subsequent revisions (if needed), due quarterly throughout the performance period.)

Deliverable 2.0 – Workforce Development Plan (WDP) (WDP due 45 days following award and subsequent revisions (if needed) due quarterly throughout the performance period.)

Deliverable 3.0 – Energy Assurance Plan – (due at end of project period)

Deliverable 4.0 – Energy Assurance Plan Implementation Report documenting completion of all identified subtask 4.1 – 4.4 (Due one (1) month before end of project period.)

Deliverable 5.0 – Provide an after action report on Energy Assurance Table Top Exercise(s) (Due at end of project period.)

ATTACHMENT 3

183715

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

1. Identification Number: DE-OE0000318		2. Program/Project Title: RECOVERY ACT – Local Energy Assurance Plan (LEAP) – Portland, OR											
3. Recipient: City of Portland													
4. Reporting Requirements:	Frequency	No. of Copies	Addressees										
A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Special Status Report	Q, F	Upload only 1 copy to the address in the next column at the interval specified in the previous column.	https://www.eere-pmc.energy.gov/SubmitReports.aspx See also Note 1										
B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/eliink) <table border="0"> <tr> <td>Report/Product</td> <td>Form</td> </tr> <tr> <td><input type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Conference papers/proceedings*</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> </tr> <tr> <td><input type="checkbox"/> Other (see Special Instructions)</td> <td>DOE F 241.3</td> </tr> </table> * Scientific and technical conferences only	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 241.3			http://www.osti.gov/eliink-2413 http://www.osti.gov/eliink-2413 http://www.osti.gov/estsc/241-4pre.jsp
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 241.3												
C. FINANCIAL REPORTING <input checked="" type="checkbox"/> SF-425, Federal Financial Report	Q, F		https://www.eere-pmc.energy.gov/SubmitReports.aspx										
D. CLOSEOUT REPORTING <input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other (see Special Instructions)	F		https://www.eere-pmc.energy.gov/SubmitReports.aspx										
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 (See Special Instructions, Note 2)	A A		https://www.eere-pmc.energy.gov/SubmitReports.aspx See also Note 2										
F. AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING <input checked="" type="checkbox"/> Reporting and Registration Requirements	A		http://www.federalreporting.gov										
FREQUENCY CODES AND DUE DATES: <table border="0"> <tr> <td>A - Within 5 calendar days after events or as specified.</td> <td>S - Semiannually; within 30 days after end of reporting period.</td> </tr> <tr> <td>F - Final; 90 calendar days after expiration or termination of the award.</td> <td>Q - Quarterly; within 30 days after end of the reporting period.</td> </tr> <tr> <td>Y - Yearly; 90 days after the end of the reporting period.</td> <td></td> </tr> </table>				A - Within 5 calendar days after events or as specified.	S - Semiannually; within 30 days after end of reporting period.	F - Final; 90 calendar days after expiration or termination of the award.	Q - Quarterly; within 30 days after end of the reporting period.	Y - Yearly; 90 days after the end of the reporting period.					
A - Within 5 calendar days after events or as specified.	S - Semiannually; within 30 days after end of reporting period.												
F - Final; 90 calendar days after expiration or termination of the award.	Q - Quarterly; within 30 days after end of the reporting period.												
Y - Yearly; 90 days after the end of the reporting period.													
5. Special Instructions: Forms are available at https://www.eere-pmc.energy.gov/forms.aspx . Note 1 - Final Progress Report - The final report will consist of 1) a one-page executive summary of the project, 2) a report summarizing the implementation actions and other project activities completed through the LEAP Initiative, 3) a Workforce Management Report documenting the personnel hired, retained and trained for energy assurance activities through this initiative, 4) a copy of the City's Energy Assurance Plan, and 5) summaries or copies of project deliverables. Note 2 – Other – Other deliverables as identified in the Statement of Project Objectives.													

Federal Assistance Reporting Instructions (5/09)**A. MANAGEMENT REPORTING****Progress Report**

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

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

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

B. SCIENTIFIC/TECHNICAL REPORTS – NOT APPLICABLE

C. FINANCIAL REPORTING

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

D. CLOSEOUT REPORTS

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at <http://www.management.energy.gov/documents/PropertyCertFINAL.doc>

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.

Applicant Name: City of Portland, OregonAward Number: DE-OE0000318**Budget Information - Non Construction Programs**

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. B Period 1				\$276,099	\$0	\$276,099
2.						
3.						
4.						
5. Totals				\$276,099	\$0	\$276,099

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) B Period 1	(2) B Period 2	(3)	(4)	
a. Personnel	\$87,672	\$87,672			\$175,344
b. Fringe Benefits	\$29,300	\$29,300			\$58,600
c. Travel	\$0	\$0			\$0
d. Equipment	\$0	\$0			\$0
e. Supplies	\$25,030	\$9,925			\$34,955
f. Contractual	\$3,600	\$3,600			\$7,200
g. Construction	\$0	\$0			\$0
h. Other	\$0	\$0			\$0
i. Total Direct Charges (sum of 6a-6h)	\$145,602	\$130,497			\$276,099
j. Indirect Charges					\$0
k. Totals (sum of 6i-6j)	\$145,602	\$130,497	\$0	\$0	\$276,099
7. Program Income					\$0

Section C - Non-Federal Resources				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.				
9.				
10.				
11.				
12. Total (sum of lines 8 - 11)				

Section D - Forecasted Cash Needs					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
13. Federal	\$145,602	\$36,401	\$36,401	\$36,400	\$36,400
14. Non-Federal	\$0	\$0	\$0	\$0	\$0
15. Total (sum of lines 13 and 14)	\$145,602	\$36,401	\$36,401	\$36,400	\$36,400

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project				
(a) Grant Program	Future Funding Periods (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.				
17.				
18.				
19.				
20. Total (sum of lines 16-19)	\$0	\$0	\$0	\$0

Section F - Other Budget Information	
21. Direct Charges	22. Indirect Charges
23. Remarks	