

DOE Form 4600.1
(6-79)
Replaces Form FEA-F-203

U.S. DEPARTMENT OF ENERGY
NOTICE OF GRANT AWARD

MB

94-163, 94-385, 95-619

Under authority of Public Law 11 and subject to pertinent legislation, regulations and policies applicable to
(Cite legislative program title): Buildings and Community Systems

1. PROGRAM TITLE (Cite specific program title) Energy Auditing Standardization Project (A Strategy for Increasing the Energy Efficiency of a City)		
2. GRANTEE (Name, address, ZIP code) City of Portland, Oregon Mayor's Office, City Hall, 1220 SW 5th TELEPHONE Portland, Oregon (503)248-4579	3. GRANT NO. DE-FG51-81R000837	4. AMENDMENT NO.
	5. BUDGET PERIOD From: May 30, 1981 Thru: October 31, 1981	
6. TOTAL PROGRAM PERIOD From: May 30, 1981 Thru: October 31, 1981		
7. CONGRESSIONAL DISTRICT	9. TYPE OF GRANT AWARD X a. New d. Revision b. Continuation e. Supplement c. Renewal	
8. STATE, CITY, COUNTY Oregon, Portland, Multnomah	11. ADDRESS OF GRANTEE PROJECT DIRECTOR Portland Portland Energy Office, Jeanne McCormick, Director Energy Ofc, City Hall, PtInd, OR	
12. GRANTEE TYPE <input type="checkbox"/> STATE <input checked="" type="checkbox"/> LOCAL GOVERNMENT <input type="checkbox"/> NON-PROFIT <input type="checkbox"/> OTHER AUTHORIZED GRANTEE 97204		
13a. APPROPRIATION SYMBOL 89X0215.91 b. B & R Number EC03	14. ALLOTMENT SYMBOL/FUND CLASS EO-15-91	15a. EMPLOYER I.D. NUMBER 936002236 b. Vendor Code
16. AWARD COMPUTATION (Federal funds only) a. Amount awarded prior budget periods \$ -- b. Amount previously awarded current budget period \$ -- c. Current fiscal year funds, this award \$20,000 d. Total amount awarded for program period \$20,000		17. CURRENT BUDGET PERIOD INFORMATION a. Federal share of approved budget \$ b. Non-Federal share of approved budget \$ c. Total approved budget \$
18. This grant award, consisting of Part I-Budget Plan and Part II-Conditions, attached hereto, will be administered in accordance with the following documents which are hereby incorporated by reference: a. Grant application dated 4/10/81, as negotiated. b. Program guidelines applicable to this grant: (Title) Buildings and Community Systems (Date) c. DOE Assistance Regulations, 10 CFR 2-600, as amended, subparts A & B d. Other documents as applicable: General Grant Conditions		
19. SPECIAL CONDITIONS APPLICABLE TO THIS GRANT AWARD None		
20. REMARKS:		
21. GRANTEE ACCEPTANCE _____ (Signature of authorized grantee official) (Date)		22. AWARDED by <u>[Signature]</u> 5-19-81 (Signature) (Date)
_____ (Title of authorized signing official)		_____ (Title)
NAME OF GRANTEE ORGANIZATION		



Department of Energy
Region ~~XX~~ Seattle Office
1992 Federal Building
915 Second Avenue
Seattle, Washington 98174
(206) 442-7285

May 19, 1981

The Honorable Francis J. Ivancie
Mayor
City of Portland
City Hall
1220 S.W. Fifth Avenue
Portland, OR 97204

Dear Mayor Ivancie:

I am pleased to inform you that the review of the unsolicited grant proposal, "A Strategy for Increasing the Energy Efficiency of a City," has been completed. The Energy Auditing Standardization Project for the City of Portland has qualified for a grant award in the amount of \$20,000. This award is authorized under the Department of Energy (DOE) Buildings & Community Systems Program, under Public Laws 94-163, 94-385, and 95-619. The DOE, National Office of Local Government and Conservation Programs has authorized the Seattle Office to make this grant, as amended, in its letter of approval dated April 30, 1981.

The Notice of Grant Award (NGA) and a Statement of Grant Conditions for this grant are enclosed. Please review the NGA and the grant conditions. If you accept all of the terms and conditions of the grant, please sign the original and two copies of the NGA. The original of the NGA should be returned to this Office; signed copies of the NGA are to be retained by your Office.

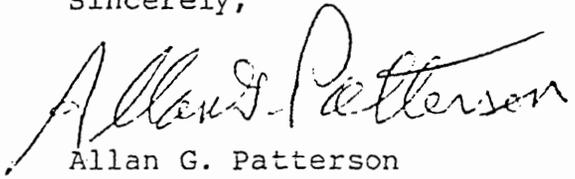
Grant funds are for the support of the Portland energy auditing standardization project from May 30, 1981, to October 31, 1981. Method of payment for this grant will be Advance Treasury Check, under which funds in the amount of \$20,000 will be available to you following our receipt of the signed NGA. An Advance By Treasury Check payment will be made to you, upon your request, before cash outlays or expenditures have been made for your project. To receive

Letter to Mayor Francis J. Ivancie
From Allan G. Patterson
May 19, 1981
Page 2 of 2

payment, you must use one of the Standardized forms (Form 270: Request for Advance or Reimbursement) when requesting payment for your project. Several of these forms are enclosed for your convenience.

We look forward to our continuing work with your office and with the City Energy Office as you further implement the Portland Conservation Plan. If we may be of further service to you, or if you or your staff have any questions regarding this grant, please contact me, or Diana Gurley of this Office at (206) 442-7285.

Sincerely,



Allan G. Patterson
Acting Director
Seattle Office
Department of Energy

Enclosures

cc w/o encl: Diana Gurley, DOE-Seattle Office
Lee Johnson, DOE-Seattle Office
Jeanne McCormick, Director, Portland Energy Ofc.
William Raup, DOE-HQ

U. S. DEPARTMENT OF ENERGY (DOE)

A Strategy for Increasing the Energy Efficiency
of a City: Energy Auditing Standardization
Project, Portland, Oregon

STATEMENT OF GRANT CONDITIONS

Grant No. DE-FG51-81R0000837

1. General and Administrative Requirements

This grant shall be administered by the City of Portland, Oregon, and shall be implemented in accordance with all relevant statutes, regulations, directives, policies, and procedures currently in effect. There is no commitment for additional funding or continuation funding beyond the amount awarded in this grant. Federal regulations and directives pertinent to this grant include, but are not limited to:

- o 10, CFR 600, "DOE Assistance Regulations"
- o OMB Circular A-102, "Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments"
- o OMB Circular A-87, "Cost Principles Applicable to Grants and Contracts with State and Local Governments"
- o OMB Circular A-95, "Evaluation, Review and Coordination of Federal and Federally Assisted Programs and Projects"
- o Treasury Circular 1075, "Withdrawal of Cash From the Treasury for Advances under Federal Programs."

2. Recordkeeping

Each recipient of federal financial assistance under this grant shall keep records as the Secretary of the U.S. Department of Energy shall require, including records which fully disclose the amount and disposition of each recipient of the proceeds of such assistance, the total cost of the plan, program, projects, measures, or systems for which such assistance was given or used, the source and amount of funds for such plan, program, projects, measures, or systems not supplied by the Secretary, and such other records as the Secretary

determines necessary to facilitate an effective audit and performance evaluation. The Secretary and Comptroller General of the United States, or any of their duly authorized representatives, shall have access for the purpose of audit and examination, at reasonable times and under reasonable conditions, to any pertinent books, documents, papers and records of any recipient of federal assistance under the grant.

3. Reporting Program Performance

a. Monitoring and Reporting of Program Performance

The grantee shall monitor the performance of grant-supported activities on a continuing basis to assure that time schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved.

b. Frequency

Following grant award, the grantee shall report on program progress and financial status to the DOE Seattle Energy Office by June 30, 1981, and at the end of the grant period.

c. Evaluative Report

The grantee shall prepare a short evaluation summary of program activities at the close of the grant period. This report will be made available to the DOE, Seattle Energy Office.

4. Publications and Publicity

a. Three copies of any publication (e.g, brochure on how to save energy) prepared by the grantee in whole or in part with DOE funds shall be provided to the DOE Seattle Energy Office for information purposes after publication.

b. The grantee shall not copyright any materials or publications developed with any funds provided by DOE under this grant. This prohibition on copyrighting is intended to facilitate the exchange of publications, information, and ideas. However, if

STATEMENT OF GRANT CONDITIONS

DE-FG51-81R000837

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the grantee determines that a copyright will result in public benefit, an exception may be requested from the DOE, Seattle Energy Office.

- c. Any published item supported by DOE grant funds shall contain the following acknowledgement statement: "This (material) was prepared with the support of the U.S. Department of Energy (DOE) Grant No. DE-FG51-81R000837. However, any opinions, findings, conclusions, or recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of DOE."
- d. News or press releases or similar announcements issued by the grantee or on behalf of the grantee, in connection with this grant or contracts or subgrants supported by financial assistance made available by DOE in whole or in part (50 percent or more) under this grant, shall contain an acknowledgement that financial assistance was provided by DOE.

5. Changes Requiring Prior DOE Approval

Budgetary revisions will be made in accordance with Attachment K of OMB Circular A-102. Prior approval shall be received from the DOE, Seattle Office before the grantee implements any of the following changes in the approved application:

- i. Elimination or addition of a program or function;
- ii. Changes in the scope or objective of a program or function;
- iii. Transfer of funds between programs/functions if the cumulative amount of such transfers exceeds 5 percent of the total budget.

6. Allowable Costs

Costs listed in OMB Circular A-87, Attachment B, as being allowable with the prior approval of the grantor agency will be considered on a case-by-case basis by DOE on request of the grantee. The request should be made in writing to the DOE Seattle Energy Office Program Manager and should provide an explanation of the need for the cost approval and the expected impact of the program.

7. Program Income

In accordance with OMB Circular A-102, Attachment E, program income earned or accrued during the award period will be added to the funds already committed to the grantee's program by DOE and the recipient, and used to further eligible program objectives. The receipt and expenditure of such program income will be reported on a quarterly basis per paragraph 3. Record retention as required by OMB Circular A-102, Attachment C, and Section 600.104 of the DOE Assistance Regulation, will apply to program income.

8. Property Management

Attachment N of OMB Circular A-102 shall govern all property management. The excerpt of this circular, attached in Appendix I, applies to determination of title for the two Residential Energy Audit computer terminals and related supplies.

9. Audits

As stated in OMB Circular A-102, Attachment P, "audits usually will be made annually, but not less frequently than every two years." At the option of the grantee, the audit may be conducted by the State Auditor or an independent auditor and must be made in accordance with the "Guidelines for Financial and Compliance Audits of Federally Assisted Programs," published by the General Accounting Office and incorporated in OMB Circular A-102, Attachment P, effective March 17, 1980.

10. Civil Rights

In addition to the Civil Rights Assurances contained in Part V of Attachment M of OMB Circular A-102, the grantee shall comply with the equal opportunity obligations and restrictions imposed by applicable Civil Rights laws and DOE regulations 10 CFR Part 1040, "Nondiscrimination in Federally Assisted Programs" and shall separately execute a Civil Rights Assurance form.

11. Privacy Act

No grantee or subcontractor shall maintain information about any individual in a manner which would violate

the provisions of the Privacy Act of 1974, as amended (5 USC 552a). The grantee shall give advance notice to the DOE Seattle Energy Office in the event it is anticipated that information will be maintained in a system of records, as defined by section (a) (4) and (5) of the Privacy Act. Notice must be sufficient to enable the publication in the Federal Register of a system description as required by section (e) (11) of the Privacy Act, and the submission of a Report of New Systems as provided in section (o) of the Privacy Act.

12. Coordination of Programs

Activities funded under the grant will be coordinated with pertinent programs of the Oregon Department of Energy.

APPENDIX I

OMB Circular A-102, Attachment N

When ~~non~~ nonexpendable tangible property is acquired by a grantee with project funds title shall not be taken by the Federal Government but shall vest in the grantee subject to the following conditions:

(a) Right to transfer title. For items of nonexpendable personal property having a unit acquisition cost of \$1,000 or more, the Federal agency may reserve the right to transfer the title to the Federal Government or to a third party named by the Federal Government when such third party is otherwise eligible under existing statutes. Such reservation shall be subject to the following standards:

(1) The property shall be appropriately identified in the grant or otherwise made known to the grantee in writing.

(2) The Federal agency shall issue disposition instructions within 120 calendar days after the end of the Federal support of the project for which it was acquired. If the Federal agency fails to issue disposition instructions within the 120 calendar-day period, the grantee shall apply the standards of subparagraph 6(b) and 6(c) as appropriate.

(3) When the Federal agency exercises its right to take title, the personal property shall be subject to the provisions for federally-owned nonexpendable property discussed in paragraph 4, above.

(4) When title is transferred either to the Federal Government or to a third party, the provisions of subparagraph 6(c) (2) (b) should be followed.

(b) Use of other tangible nonexpendable property for which the grantee has title.

(1) The grantee shall use the property in the project or program for which it was acquired as long as needed, whether or not the project or program continues to be supported by Federal funds. When no longer needed for the original project or program, the grantee shall use the property in connection with its other federally sponsored activities, in the following order of priority:

(a) Activities sponsored by the same Federal agency.

(b) Activities sponsored by other Federal agencies.

(2) Shared use. During the time that nonexpendable personal property is held for use on the project or program for which it was acquired, the grantee shall

make it available for use on other projects or programs if such other use will not interfere with the work on the project or program for which the property was originally acquired. First preference for such other use shall be given to other projects or programs sponsored by the Federal agency that financed the property; second preference shall be given to projects or programs sponsored by other Federal agencies. If the property is owned by the Federal Government, use on other activities not sponsored by the Federal Government shall be permissible if authorized by the Federal agency. User charges should be considered if appropriate.

(c) Disposition of other nonexpendable property. When the grantee no longer needs the property as provided in 6b above, the property may be used for other activities in accordance with the following standards:

(1) Nonexpendable property with a unit acquisition cost of less than \$1,000. The grantee may use the property for other activities without reimbursement to the Federal Government or sell the property and retain the proceeds.

(2) Nonexpendable personal property with a unit acquisition cost of \$1,000 or more. The grantee may retain the property for other uses provided that compensation is made to the original Federal agency or its successor. The amount of compensation shall be computed by applying the percentage of Federal participation in the cost of the original project or program to the current fair market value of the property. If the grantee has no need for the property and the property has further use value, the grantee shall request disposition instructions from the original grantor agency.

The Federal agency shall determine whether the property can be used to meet the agency's requirements. If no requirement exists within that agency, the availability of the property shall be reported, in accordance with the guidelines of the Federal Property Management Regulations (FPMR), to the General Services Administration by the Federal agency to determine whether a requirement for the property exists in other Federal agencies. The Federal agency shall issue instructions to the grantee no later than 120 days after the grantee request and the following procedures shall govern:

(a) If so instructed or if disposition instructions are not issued within 120 calendar days after the grantee's request, the grantee shall sell the property and reimburse the Federal agency an amount computed by applying to the sales proceeds the percentage of Federal participation in the cost of the original project or program. However, the grantee shall be permitted to deduct and retain from the Federal share 100 or ten percent of the proceeds, whichever is greater, for the grantee's selling and handling expenses.

(b) If the grantee is instructed to ship the property elsewhere the grantee shall be reimbursed by the benefiting Federal agency with an amount which

is computed by applying the percentage of the grantee participation in the cost of the original grant project or program to the current fair market value of the property, plus any reasonable shipping or interim storage costs incurred.

(c) If the grantee is instructed to otherwise dispose of the property, the grantee shall be reimbursed by the Federal agency for such costs incurred in its disposition.

(d) Property management standards for nonexpendable property. The grantee's property management standards for nonexpendable personal property shall include the following procedural requirements:

(1) Property records shall be maintained accurately and shall include:

(a) A description of the property.

(b) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.

(c) Source of the property including grant or other agreement number.

(d) Whether title vests in the grantee or the Federal Government.

(e) Acquisition date (or date received, if the property was furnished by the Federal Government) and cost.

(f) Percentage (at the end of the budget year) of Federal participation in the cost of the project or program for which the property was acquired. (Not applicable to property furnished by the Federal Government.)

(g) Location, use, and condition of the property and the date the information was reported.

(h) Unit acquisition cost.

(i) Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a grantee compensates the Federal agency for its share.

(2) Property owned by the Federal Government must be marked to indicate Federal ownership.

(3) A physical inventory of property shall be taken and the results reconciled with the property records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the difference. The grantee shall, in connection with the inventory, verify the existence, current utilization, and continued need for the property.

(4) A control system shall be in effect to insure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft of nonexpendable property shall be investigated and fully documented; if the property was owned by the Federal Government, the grantee shall promptly notify the Federal agency.

(5) Adequate maintenance procedures shall be implemented to keep the property in good condition.

(6) Where the grantee is authorized or required to sell the property, proper sales procedures shall be established which would provide for competition to the extent practicable and result in the highest possible return.

ORDINANCE No. 151682

An Ordinance accepting a grant of \$20,000 from the U.S. Department of Energy for energy audits of oil heated homes in Portland, and declaring an emergency.

The City of Portland ordains:

Section 1. The Council finds:

1. That on April 15, 1981, the Council adopted Ordinance No. 151410 authorizing the filing of an application to the U.S. Department of Energy for the funding of audits for Portland homeowners who heat with oil but who have no regular oil dealer and are presently unable to obtain a free energy audit.
2. That on May 21, 1981, the City received notification from the Seattle office of the Department of Energy that its grant application had been favorably received and \$20,000 awarded for use between May 30, 1981 to October 31, 1981.
3. That the Energy Commission has recommended that this one-time auditing effort be directed by Portland Energy Conservation, Inc., the non-profit corporation established by the City to provide conservation services to citizens, without involving the use of City General Funds.
4. That over 700 Portland households will benefit from this grant by being provided a free audit of their homes to determine which are the most cost-effective energy conservation measures they can take.

NOW, THEREFORE, the Council directs:

- a. That the Mayor, on behalf of the City of Portland, accept the grant agreement DE-FG51-81R000837 with the U.S. Department of Energy for \$20,000, attached as Exhibit A to the original only of this Ordinance.
- b. That the Commissioner of Public Works, on behalf of the City of Portland, negotiate a contract with Portland Energy Conservation, Inc. to implement this grant agreement.

Section 2. The Council declares that an emergency exists because delay in signing this grant agreement will result in the loss of opportunity to assist in the energy retrofit of 700 Portland homes; therefore, this Ordinance shall be in force and effect from and after its passage by the Council.

Passed by the Council, **JUN 3 1981**

Commissioner Lindberg
 May 26, 1981
 S.P.Chadima:sf
 BUC 70300010

Attest:


 Auditor of the City of Portland

1760

Calendar No. ~~4718~~

ORDINANCE No. 151682

Title

An Ordinance accepting a grant of \$20,000 from the U.S. Department of Energy for energy audits of oil heated homes in Portland, and declaring an emergency.

MAY 28 1981

CONTINUED TO JUN 3 1981

Filed MAY 27 1981

GEORGE YERKOVICH
Auditor of the CITY OF PORTLAND

By: *George Yorkovich*
Deputy

THE COMMISSIONERS VOTED AS FOLLOWS:		
	Yeas	Nays
JORDAN		
LINDBERG		
SCHWAB		
STRACHAN		
IVANCIE		

FOUR-FIFTHS CALENDAR	
JORDAN	<i>Chas Jordan</i>
LINDBERG	<i>MDS</i>
SCHWAB	<i>MDS</i>
STRACHAN	<i>MDS</i> (circled)
IVANCIE	

INTRODUCED BY
Commissioner Lindberg

NOTED BY THE COMMISSIONER
Affairs
Finance and Administration
Safety <i>[Signature]</i>
Utilities
Works <i>Mike Lindberg</i>

BUREAU APPROVAL
Bureau: Energy Office
Prepared By: S.P. Chadima Date: May 26, 1981
Budget Impact Review: <input type="checkbox"/> Completed <input type="checkbox"/> Not required
Bureau Head: <i>[Signature]</i>

CALENDAR		
Consent	Regular	X

NOTED BY
City Attorney
City Auditor
City Engineer