



California Energy Commission



**APPLICATION TO THE  
UNITED STATES  
DEPARTMENT OF ENERGY**

**ENERGY EFFICIENCY  
CONSERVATION  
BLOCK GRANT**

JUNE 2009

American Recovery and Reinvestment Act 2009

**U.S. DEPARTMENT OF ENERGY**

**ENVIRONMENTAL QUESTIONNAIRE**

**I. BACKGROUND**

The Department of Energy (DOE) National Environmental Policy Act (NEPA) Implementing Procedures (10 CFR 1021) require careful consideration of the potential environmental consequences of all proposed actions during the early planning stages of a project or activity.

DOE must determine at the earliest possible time whether such actions will require either an Environmental Assessment or an Environmental Impact Statement, or whether they qualify for a Categorical Exclusion. To comply with these requirements, an Environmental Questionnaire must be completed for each proposed action to provide DOE with the information necessary to determine the appropriate level of NEPA review.

**II. INSTRUCTIONS**

Separate copies of the Environmental Questionnaire should be completed by the principal proposer and appropriate proposer's subcontractor. In addition, if the proposed project includes activities at different locations, an independent questionnaire should be prepared for each location. Supporting information can be provided as attachments.

In completing this Questionnaire, the proposer is requested to provide specific information and quantities, when applicable, regarding air emissions, wastewater discharges, solid wastes, etc., to facilitate the necessary review. The proposer should identify the location of the project and specifically describe the activities that would occur at that location. In addition, the proposer will be required to submit an official copy of the project's statement of work (SOW) or statement of project objective (SOPO) that will be used in the contract/agreement between the proposer and DOE.

**III. QUESTIONNAIRE**

**A. PROJECT SUMMARY**

1. Solicitation/Project Number: DE-FOA-0000013
2. Proposer: State of California, California Energy Commission
3. Principal Investigator:  
Telephone Number: \_\_\_\_\_
4. Project Title: California's EECBG Grant Program
5. Duration: September 1, 2009 - August 31, 2012
6. Location(s) of Performance (City/Township, County, State): California Statewide  
\_\_\_\_\_  
\_\_\_\_\_
7. Identify and select checkbox with the predominant project work activities under Group A-7b or A-7c.

**Group A-7b**

- Work or project activities does NOT involve new building/facilities construction and site preparation activities. This work typically involves routine operation, modification, and retrofit of existing utility and transportation infrastructure, laboratories, commercial buildings/properties, offices and homes, test facilities, factories/power plants, vehicles test stands and components, refueling facilities, greenspace infrastructure, or other existing facilities.

**Group A-7c**

Work or project activities typically involves major building or facility construction, site preparation; the installation, replacement, or major modifications of energy system prototypes and infrastructure, access right-of-ways and roads; utility, greenspace, and transportation infrastructure, vehicle test facilities; commercial buildings/properties, fuel refinery/mixing facilities, factories/power plants; and other types of energy efficiency/conservation related systems, structures, and facilities. This work can require new or modified regulatory permits, environmental sampling and monitoring requirements, master planning, public involvement, and environmental impact review.

Other types of work or project activities not listed. (please describe):

8. Summarize the objectives of the proposed work. List activities planned at the location as covered by this Environmental Questionnaire.

This environmental questionnaire covers all anticipated allowable activities under California's EECBG grant application. Specific projects have not yet been identified or selected for funding. Projects to be funded under this program will fall under one or more of the following activities: Energy Efficiency Retrofits; Financial Incentives for Energy Efficiency Improvements; Traffic Signal and Street Lighting Retrofits; Water and Wastewater Treatment; Motor Efficiency Improvements; Renewable Energy Technology Installations; Energy Efficiency Conservation Program Development; Building Energy Audits; and/or Development of Energy Conservation and Usage Goals, Implementation Strategies; and Measurement Methodologies.

9. List all other locations where proposed work or project would be performed by project's proposer and subcontractors.

Projects will be located within the State of California; however, specific projects (and therefore project sites) have not yet been selected for funding.

10. Identify major project operation related materials and waste that would be used, consumed, and produced by project or activity.

Energy efficiency retrofit activities will produce a waste stream of inefficient equipment that is replaced under this program. Examples of waste streams generated include, but are not limited to: incandescent bulbs, fluorescent lamps and ballasts (which will be disposed properly), motor (which will be recycled or rewound), HVAC equipment, plumbing fixtures, etc. Specific waste streams will not be identified until specific projects are selected for funding.

11. Provide a brief description of the project location (physical location, surrounding area, adjacent structures).

Since specific projects have not yet been identified, physical locations cannot be described.

12. Attach a site plan or topographic map of the project work area.

Since specific projects have not yet been identified, site plans and/or maps are not available.

**B. ENVIRONMENTAL IMPACTS**

This section is designed to obtain information for objectively assessing the environmental impacts of a proposed project. NEPA procedures require evaluations of possible effects (including land use, energy resource use, natural, historic and cultural resources, and pollutants) from proposed projects on the environment.

**1. Land Use**

a. Characterize present land use where the proposed project would be located.

- |  |   |   |  |
|--|---|---|--|
| <input checked="" type="checkbox"/> Urban    | <input checked="" type="checkbox"/> Industrial        | <input checked="" type="checkbox"/> Commercial  | <input type="checkbox"/> Agricultural        |
| <input checked="" type="checkbox"/> Suburban | <input checked="" type="checkbox"/> Rural             | <input checked="" type="checkbox"/> Residential | <input type="checkbox"/> Research Facilities |
| <input type="checkbox"/> Forest              | <input checked="" type="checkbox"/> University Campus | <input type="checkbox"/> Other                  |  |

b. Describe how land use would be affected by planned construction and project activities.

No construction would be anticipated for this project.

c. Describe any plans to reclaim/replant areas that would be affected by the proposed project.

No land areas would be affected.

- d. Would the proposed project affect any unique or unusual landforms (e.g., cliffs, waterfalls, etc.)?  
 No  Yes (describe)
- e. Would the proposed project be located in or near a national park or wilderness area?  
 No  Yes (describe)

*If project work activities falls under item A-7b; then proceed directly to question B.6 (Atmospheric Conditions/Air Quality) and continue to fill out questionnaire.*

*If project work falls under item A-7c; then proceed directly below to question B.2 (Construction Activities and/or Operations) and continue to fill out questionnaire.*

## 2. Construction Activities and/or Operations

- a. Identify any roads, trails, or utility right of ways that traverse the proposed site or will be constructed and clearly mark them on project site maps.  
 None
- b. Would the proposed project require the construction of settling ponds?  
 No  Yes (describe and identify location, and estimate surface area disturbed)
- c. Would the proposed project affect any existing body of water?  
 No  Yes (describe)
- d. Would the proposed project be located in or impact a floodplain or wetland?  
 No  Yes (describe)
- e. Would the proposed project be likely to cause runoff/sedimentation/erosion?  
 No  Yes (describe)

## 3. Vegetation and Wildlife Resources

- a. Identify any State- or Federal-listed endangered or threatened plant or animal species affected by the proposed project.  
 None
- b. Would any foreign substances/materials be introduced into ground or surface waters, or other earth/geologic resource because of project activities? Would these foreign substances/materials affect the water, soil, and geologic resources?  
 No  Yes (describe)
- c. Would any migratory animal corridors be impacted or disrupted by the proposed project?  
 No  Yes (describe)

**4. Socioeconomic and Infrastructure Conditions.**

- a. Would local socio-economic changes result from the proposed project?  
 No  Yes (describe)

Participating local jurisdictions would benefit from savings resulting from energy efficiency measures implemented within their jurisdictions which would decrease the need for local tax revenues and/or increase the programs/services offered by the jurisdiction. This program also provides employment opportunities for local communities as a result of energy project opportunities.

- b. Would the proposed project generate increased traffic use of roads through local neighborhoods, urban or rural areas.?  
 No  Yes (describe)
- c. Would the proposed project require new transportation access (roads, rail, etc.)? Describe location, impacts, costs.  
 No  Yes (describe)
- d. Would any new transmission lines and/or power line right-of-ways be required?  
 No  Yes (describe location, voltage, and length of line)

**5. Historical/Cultural Resources**

- a. Describe any historical, archeological, or cultural sites in the vicinity of the proposed project; note any sites included on the National Register of Historic Places.  
 None
- b. Would construction or operational activities planned under the proposed project disturb any historical, archeological, or cultural sites?  
 No planned construction  No historic sites  Yes (describe)
- c. Would the proposed project interfere with visual resources (e.g., eliminate scenic views) or alter the present landscape?  
 No  Yes (describe)

*For all proposed project work activities identified under item A-7b, respond to item B6 directly below and continue filling out environmental questionnaire.*

**6. Atmospheric Conditions/Air Quality**

- a. Identify air quality conditions in the immediate vicinity of the proposed project with regard to attainment of National Ambient Air Quality Standards (NAAQS). This information is available under the NAAQS tables from the U.S. EPA Air and Radiation Division.

	<u>Attainment</u>	<u>Non-Attainment</u>
O <sub>3</sub>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SO <sub>x</sub>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
PM <sub>10</sub>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
CO	<input checked="" type="checkbox"/>	<input type="checkbox"/>
NO <sub>2</sub>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Lead	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

- b. Would proposed project require issuance of new or modified major source air quality permits?  
 No  Yes (describe)

- c. Would the proposed project be in compliance with the National Emissions Standards for Hazardous Air Pollutants?  
 No (explain)  Yes
- d. Would the proposed project be classified as either a New Source or a major modification to an existing source?  
 No  Yes (describe)

- e. Would the proposed project be in compliance with the New Source Performance Standards?  
 Not Applicable  No (explain)  Yes

- f. Would the proposed project be subject to prevention of significant deterioration air quality review?  
 Not applicable  No (explain)  Yes (describe)

- g. What types of air emissions, including fugitive emissions, would be anticipated from the proposed project?

Proposed projects are expected to reduce air emissions from local sites.

- h. Would any types of emission control or particulate collection devices be used?  
 No  Yes (describe, including collection efficiencies)

If new boilers or water heaters are installed, applicable Best Available Control Technology (BACT) will be used to reduce applicable air emissions.

- i. If no control devices are used, how would emissions be vented?

Existing flue gas stack will be used for venting reduced air emissions.

## 7. Hydrologic Conditions/Water Quality

- a. What is the closest body of water to the proposed project area and what is its distance from the project site?

Since specific projects have not yet been selected for funding, this information is not currently available.

- b. What sources would supply potable and process water for the proposed project?

Since specific projects have not yet been selected for funding, this information is not currently available.

- c. Quantify the daily or annual amount of wastewater that would be generated by the proposed project.

None.

- d. Identify the local treatment facility that would receive wastewater from the proposed project.

No discharges to local treatment facility

- e. Describe how wastewater would be collected and treated.

**Not applicable.**

- f. Would any run-off or leachates be produced from storage piles or waste disposal sites?

No  Yes (describe source)

- g. Would project require issuance of new or modified water permits to perform project work or site development?

No  Yes (describe)

- h. Where would wastewater effluents from the proposed project be discharged?

No wastewater produced

- i. Would the proposed project be permitted to discharge effluents into an existing body of water?

No  Yes (describe water use and effluent impact)

- j. Would a new or modified National Pollutant Discharge Elimination System (NPDES) permit be required?  
 No  Yes (describe)

- k. Would the proposed project adversely affect the quality or movement of groundwater?  
 No  Yes (describe)

## 8. Solid and Hazardous Wastes

- a. Describe and estimate major nonhazardous solid wastes that would be generated from the project. Solid wastes are defined as any solid, liquid, semi-solid, or contained gaseous material that is discarded or has served its intended purpose, or is a manufacturing or mining by-product (40 CFR 260, Appendix I).

Energy efficiency retrofit activities will produce a waste stream of inefficient equipment that is replaced under this program will be properly disposed and recycled according to local ordinances. Examples of waste streams generated include, but are not limited to: incandescent bulbs, fluorescent lamps and ballasts (which will be disposed properly), motor (which will be recycled or rewound), HVAC equipment, plumbing fixtures, etc. Specific waste streams will not be identified until specific projects are selected for funding.

- b. Would project require issuance of new or modified solid waste and/or hazardous waste related permits to perform project work activities?  
 No  Yes (explain)

- c. How and where would solid waste disposal be accomplished?  
 On-site (identify and describe location)  
 Off-site (identify location and describe facility and treatment)

Various locations both within and outside the State of California. Specific locations will not be identified until specific projects have been selected for funding.

- d. How would wastes for disposal be transported?

Wastes generated are anticipated to be transported through existing waste disposal methods used by each site according to local health and safety codes. Specifics will not be available until after specific projects have been identified for funding.

- e. Describe and estimate the quantity of hazardous wastes (40 CFR 261.31) that would be generated, used, or stored under this project.  
 None

- f. How would hazardous or toxic waste be collected and stored?  
 None used or produced

- g. If hazardous wastes would require off-site disposal, have arrangements been made with a certified TSD (Treatment, Storage, and Disposal) facility?  
 Not required  Arrangements not yet made  Arrangements made with a certified TSD facility (identify):

## C. DESCRIBE ANY ISSUES THAT WOULD GENERATE PUBLIC CONTROVERSY REGARDING THE PROPOSED PROJECT.

- None

## Attachment E

### Energy Efficiency & Conservation Strategy for States

As detailed in Part 1 of this announcement, all applicants must submit an Energy Efficiency and Conservation Strategy (EECS). States must submit the EECS at the time of application. The format is contained in Attachment E. This form should be saved in a file named "UIC-Strategy.pdf" and click on "Add Optional Other Attachment" to attach.

**Grantee:** State of California, California Energy Commission

**Date:** 06/25/2009

**DUNS #:** 002540768

- 1. Describe your State's proposed Energy Efficiency and Conservation Strategy. Provide a concise summary of your measureable goals and objectives, which should be aligned with the defined purposes and eligible activities of the EECBG Program. These goals and objectives should be comprehensive and maximize benefits statewide. Provide a schedule or timetable for major milestones. If your State has an existing energy, climate, or other related strategy please describe how these strategies relate to each other.**

California's Energy Efficiency and Conservation Strategy is a multi-faceted approach that combines a variety of implementation strategies to fund allowable projects and activities by eligible entities within the State of California. Consistent with existing State law and policies, California's EECBG program will primarily focus on cost-effective energy efficiency projects. California plans to assist, as necessary, in identifying the most cost-effective energy efficiency measures and provide the necessary follow-on funding for the implementation of those measures.

The goals of California's EECBG efforts are to provide financial and technical assistance to: 1) implement cost-effective energy efficiency retrofits; 2) identify eligible cost effective efficiency measures; and/or 3) develop and implement financial incentive programs for energy efficiency that will provide lasting benefits into the future. If further direction is provided by the California State Legislature during the implementation of California's EECBG program, the Energy Commission may expand the goals of the program to provide assistance to: 4) develop and implement transportation programs to conserve energy; 5) develop and implement building codes and inspection services to promote building energy efficiency; 6) increase energy efficiency through the use of distributed energy resource technologies; 7) increase participation and efficiency rates for material conservation programs; and/or 8) reduce, capture and/or use methane and other greenhouse gases generated. These efforts will assist in reducing energy consumption and greenhouse gas emissions while stimulating the economy and creating jobs.

The objective of California's EECBG program is to: 1) save 61.2 million kWh of electricity; save 207897 therms of natural gas; reduce CO2 emissions by 22,541 tons; and save local jurisdictions in excess of \$9.0 million per year. The California Energy Commission (Energy Commission) is currently developing guidelines/regulations through a public process that will provide the necessary framework to implement the various aspects of California's EECBG programs.

#### Anticipated Implementation Schedule:

June 25, 2009:	Submit EECBG Application to the U.S. Department of Energy (U.S. DOE)
August 2009:	Finalize guidelines/regulations and funding solicitation(s) for implementation of EECBG programs
August-September 2009:	Receive EECBG grant award from U.S. DOE
September 2009:	Release EECBG funding solicitation
September 2009-March 2010:	Obligate no less than 60% of funds to "small" cities/counties
April 2010-March 2011:	Obligate the remaining 40% of EECBG funding to entities deemed eligible by the Energy Commission
September 2012:	Complete and close out all EECBG funded awards and projects, including monitoring, evaluation and verification activities.

California's existing energy policies are contained in the Energy Commission's ***Integrated Energy Policy Report*** (IEPR). The IEPR lists energy efficiency as the first priority to reduce energy consumption and greenhouse gas emissions within California. California's proposed EECBG strategy recognizes and supports this priority by providing preferences to projects that are cost-effective, energy efficiency approaches that meet the goals and objectives of both the IEPR and the EECBG program.

**2. Describe your State's proposed implementation plan for the use of EECBG Program funds to assist you in achieving the goals and objectives outlined in the strategy describe in question #1. Your description should include a summary of the activities submitted on your activity worksheets, and how each activity supports one or more of your strategy's goals/objectives.**

California plans to use a combination of contracts, grants, and/or loans to achieve the goals and objectives of this program. No less than 60% of all EECBG funds received by

the State of California will be provided to “small” cities and counties that did not receive a direct allocation from U.S. DOE. The remaining funds may be used to supplement funding provided to small cities/counties and/or provide funding to other eligible entities to fund allowable activities and projects. Projects eligible for EECBG funding must fall within one or more of the following categories:

- Energy Efficiency Retrofits: To conduct energy efficiency retrofits in buildings within the jurisdiction of each local government.
- Financial Incentives: To establish financial incentive programs and mechanisms for energy efficiency improvements. These programs include, but are not limited to: performance contracting, on-bill financing, revolving loans, and/or AB 811-type financing mechanisms.
- Traffic Signals and Street Lighting: To replace traffic signals and street lighting with energy efficient lighting technologies.
- Renewable Energy Technologies on Government Buildings: To develop, implement and install on or in any government facility of the eligible entity onsite renewable energy technologies that generate electricity from renewable resources, including, but not limited to, solar energy; wind energy; fuel cells; and biomass.
- Energy Efficiency Conservation Programs for Buildings and Facilities: To design and implement energy efficiency and conservation programs for buildings and facilities. Anticipated activities include, but are not limited to: identifying the most effective methods to achieve maximum participation and efficiency rates, educating the public, developing measurement and verification protocols; and identifying energy efficient technologies.
- Building Energy Audits: To conduct building energy audits for local government buildings as well as other residential and commercial buildings within the jurisdiction of local governments receiving funding.
- Technical Consultant Services: To formulate energy conservation and usage goals, including implementation strategies and measurement methodologies.

The following additional activities could be funded assuming additional direction is given by the California State Legislature in the 2009/10 Budget that will be signed on July 1, 2009. Program guidelines/regulations being developed by the Energy Commission will further define and refine program criteria.

- **Development and Implementation of Transportation Programs:** To develop and implement programs to conserve energy used in transportation, including but not limited to:
    - development and promotion of zoning guidelines or requirements that promote energy efficient development;
    - development of infrastructure such as bike lanes and pathways and pedestrian walkways;
    - synchronization of traffic signals;
    - state/local/regional integrated planning activities (i.e., transportation, housing environmental, energy, land use) with the goal of reducing greenhouse gas emissions and vehicle miles traveled.
  - **Building Codes and Inspections:** To develop and implement building codes and inspection services to promote building energy efficiency.
  - **Energy Distribution:** To implement distributed energy resource technologies that significantly increase energy efficiency, including but not limited to, combined heat and power systems; district heating systems; energy storage systems; and ground-source heat pumps.
  - **Material Conservation Programs:** To increase participation and efficiency rates for material conservation programs, including source reduction recycling, and recycled content procurement programs that lead to increases in energy efficiency.
  - **Reduction and Capture of Methane and Greenhouse Gases:** To purchase and implement technologies to reduce, capture, and, to the maximum extent practicable, use methane and other greenhouse gases generated by landfills or similar waste-related sources, such as wastewater treatment plants, operations producing food waste, dairy farms and other animal operations.
- 3. Summarize your performance metrics from Attachment B1 – Project Activity File: Proposed Number of Jobs Created, Proposed Number of Jobs Retained, Proposed Energy Saved and/or Renewable Energy Generated, Proposed GHG Emissions Reduced (CO2 Equivalents), and Proposed Funds Leveraged.**

Below is a summary of estimated performance metrics for California's EECBG program:

Proposed Number of Jobs Created:	539
Proposed Number of Jobs Retained:	0
Proposed Energy Saved (kWh):	61.2 million
Proposed Energy Saved (therms):	207,897
Proposed GHG Emissions Reduced (CO2 Equivalents):	22,541 tons
Proposed Funds Leveraged:	\$0.00

While California's EECBG application reflects no leveraging of funds, actual program design and implementation will work to maximize the amount of leveraged funds.

**4. Describe your State's established process for providing sub-grants to units of local government that are not eligible for direct EECBG formula grants from DOE.**

California has a sophisticated and well established process for awarding subgrants to all types of entities, including units of local government. The Energy Commission plans to implement either a formulaic or competitive grant solicitation that ensures no less than 60% of California's EECBG allocation is awarded to cities and counties not receiving direct EECBG funding from U.S. DOE. The remaining 40% may be used to supplement the funding provided to small cities/counties and/or provide funding to other eligible entities to fund allowable projects and activities.

The process for providing subgrants under a formulaic allocation solicitation is as follows:

- Develop formula allocation methodology and allocate funds accordingly.
- Develop and release funding solicitation specifying minimum requirements and eligible project types.
- Receive applications by stated due date.
- Screen applications to ensure proposed projects are eligible and meet minimum requirements.
- Develop and execute subgrants to projects meeting the minimum requirements.

California expects there will be numerous eligible entities that either do not have the resources and/or expertise to apply for or implement a complex energy efficiency project. In those cases, entities may choose to utilize their EECBG allocation to make a direct purchase of preselected energy efficiency measures (such as, but not limited to, occupancy sensors, lighting technologies, plumbing fixtures, motors, etc.) through the State of California or a local jurisdiction-approved vendor to take advantage of bulk purchase discounts where feasible. Entities participating in the direct purchase program will be required to install and make operational all energy efficiency measures purchased on or before the program end term date.

The process for providing subgrants under a competitive solicitation is as follows:

- Develop and release funding solicitation.
- Receive applications by stated due date.
- Screen applications to ensure minimum requirements are met.
- Evaluate and score applications based on evaluation criteria in solicitation.
- Finalize scores and rank projects from highest to lowest.

- Fund highest ranked projects until all funding has been awarded.
- Develop and execute subgrants with winning entities.

Selection criteria are expected to include, but will not be limited to: number of jobs created or retained; cost-effectiveness of proposed project; amount of funds leveraged; and ability to meet EECBG requirements.

To ensure equitable distribution of EECBG funds within California, the Energy Commission is considering a number of strategies including, but not limited to:

- Utilizing criteria such as geographic distribution, economic diversity, and unemployment rates in local jurisdictions in the development of the formula-based allocation and/or project selection process.
- Setting aside a specified amount of funds for certain classes of jurisdictions (based on size, geographic location, and/or economically disadvantaged, etc.) within the State to allow these classes of jurisdictions to compete for funding within their defined class.

The specific and final program design will be detailed through Energy Commission adopted program guidelines and/or regulations as required by state law. The program guidelines/regulations will be developed through an open, transparent and public process. The Energy Commission expects final program guidelines/regulations to be adopted in August/September 2009 which coincides with the expected approval of California's EECBG grant application.

#### **5. Describe how this strategy has been designed to ensure that it sustains benefits beyond the EECBG funding period.**

Energy reductions and cost savings associated with the funding of various energy efficiency measures will sustain over the lifetime of the installed equipment. In addition, where feasible, California plans to provide funds through existing revolving loan programs to supplement the EECBG funds awarded to California local jurisdictions. Potential program designs that may be funded include the development of AB-811-type programs where local jurisdictions could provide loans for energy efficiency retrofits to the residential sector within their jurisdiction and the loan would be repaid through an assessment on the property tax bill of the home being retrofitted. If properly designed, this type of program could become self-sustaining and provide energy efficiency retrofit opportunities for many years to come.

**6. The President has made it clear that every taxpayer dollar spent on our economic recovery must be subject to unprecedented levels of transparency and accountability. Describe the auditing or monitoring procedures currently in place or that will be in place (by what date), to ensure funds are used for authorized purposes and every step is taken to prevent instances of fraud, waste, error, and abuse.**

The State of California has implemented an unprecedented approach to ensure transparency and accountability for all state agencies receiving ARRA funding. Governor Arnold Schwarzenegger has appointed a Federal Economic Stimulus Task Force (Task Force) to coordinate all ARRA activities within the State. The Task Force consists of high level staff from each agency receiving ARRA funding and meets regularly to ensure ARRA programs have the proper oversight and coordination among the various programs. The Task Force also provides a forum to discuss statewide accountability and transparency requirements to mitigate fraud, waste, error and abuse in the utilization of ARRA funds.

An initial step taken by California was to conduct a series of “readiness audits” for state agencies. The California Department of Finance audited multiple state agencies that are slated to receive ARRA funds and scored them on their readiness and ability to both receive ARRA funds and comply with ARRA requirements. Results of those audits are being used to further refine and improve individual state agency readiness for ARRA implementation and delivery. The results of the Energy Commission’s readiness audit can be found at [http://www.recovery.ca.gov/Transparency/readiness\\_reviews.asp](http://www.recovery.ca.gov/Transparency/readiness_reviews.asp).

The Energy Commission has developed a webpage at [www.energy.ca.gov/recovery](http://www.energy.ca.gov/recovery) that provides up-to-date information on the current status and upcoming events associated with all ARRA funding including the EECBG program. This webpage allows interested individuals to subscribe to our email listserver to receive automatic email notifications of updated information as well as electronic periodic updates. Public workshops have been and will continue to be held around the State to gain public input into the development and implementation of ARRA programs administered by the Energy Commission.

To ensure high levels of accountability and transparency among our subrecipients, the Energy Commission has begun the necessary efforts to develop electronic reporting systems containing not only data on the relevant performance metrics, but also appropriate data to detect fraud, waste, error, and abuse. This electronic system will have checks and balances as well as detailed management reports to allow for proper oversight and management of all subawards. All subawards under ARRA will be coordinated through a single office to provide better oversight on all ARRA funded activities. The electronic monitoring system is scheduled to be in operation at the time the first subawards are made (expected September 2009). Finally, the Energy Commission intends to provide appropriate training and guidance for all subawardees receiving ARRA funding.

Energy Commission staff and technical support contractors will also conduct monitoring, verification and evaluation (MV&E) of funded projects on an ongoing basis. The MV&E activities will include site visits to a representative sample of projects to ensure funding has been utilized in accordance with ARRA, EECBG, and Energy Commission guidelines.

The California Task Force will continue to provide overarching guidance and support to all state agencies receiving ARRA funding, as well as provide ongoing monitoring and evaluation for all ARRA funded programs within California. Periodic audits of state agencies receiving ARRA funding are planned to be performed to further prevent instances of fraud, waste, error and abuse.

**BUDGET JUSTIFICATION**  
**Energy Efficiency and Conservation Block Grants (EECBG)**  
**American Recovery and Reinvestment Act (ARRA)**  
**DE-FOA-0000013**

**PERSONNEL**

<b>Name</b>	<b>Classification</b>	<b>Role</b>	<b>PY</b>
TBD	Energy Specialist III	Program Lead	2
TBD	Energy Specialist II	Program Support	2
TBD	Energy Specialist I	Program Support	2
TBD	Senior Mechanical Engineer	Engineering Support	2
TBD	Associate Governmental Program Analyst	Administrative Support	2

<b>Classification</b>	<b>Salary Rate</b>	<b># of Months</b>	<b>Total Salary Cost</b>
Energy Specialist III	\$ 7,042	24	\$ 169,008
Energy Specialist II	\$ 6,404	24	\$ 153,696
Energy Specialist I	\$ 5,831	24	\$ 139,944
Senior Mechanical Engineer	\$ 9,859	24	\$ 236,616
Associate Governmental Program Analyst	\$ 5,348	24	\$ 128,352

**TOTAL PERSONNEL: \$827,616 (Federal Funds)**

**FRINGE BENEFITS**

An approved Federal fringe benefit rate agreement will be submitted to DOE for FY 09/10.

<b>Total Personnel</b>	<b>Fringe Rate</b>	<b>Total Fringe Benefits</b>
\$ 827,616	33%	\$ 273,113

**TOTAL FRINGE BENEFITS: \$273,113 (Federal Funds)**

**TRAVEL**

Travel is required to monitor and evaluate projects funded by this grant throughout the State of California. Travel may require overnight stay depending on the geographical location of the project. Additionally, travel may be required to meet with various stakeholders for the purpose of marketing the program. Most travel will be within the State and will originate from Sacramento, California. Out-of-State travel may be required to meet with Department of Energy (DOE) staff and/or to participate in conferences to present the progress, results and outcome of the program.

<b>Purpose</b>	<b>Estimated Number of Travelers per Trip</b>	<b>Travel Estimate per Traveler</b>	<b>Estimated Number of Trips</b>	<b>Estimated Total Cost (rounded to the nearest thousand)</b>
Travel within CA to attend conferences, meetings and evaluate SEP projects				
California Day Trip	1	\$ 105	54	\$ 5,670
California trip with airfare	1	\$ 623	58	\$ 36,134
California trip w/o airfare	1	\$ 323	50	\$ 16,150
Out-of-State travel to participate in DOE conferences and presentations	1	\$1,760	4	\$ 7,040

Travel Estimates are based on the following assumptions from historical data:

	<b>California Day Trip per Traveler</b>	<b>California Trip with airfare per Traveler (2 days, 1 night)</b>	<b>California Trip without airfare per Traveler (2 days, 1 night)</b>	<b>Out-of-State Trip per Traveler (4 days, 3 nights)</b>
Airfare	0	300	0	600
Lodging (with tax)	0	93	93	600
Rental Car	45	90	90	200
Gas	40	40	40	100
Parking	20	20	20	100
Per Diem	0	80	80	160
<b>Total</b>	<b>\$ 105</b>	<b>\$ 623</b>	<b>\$ 323</b>	<b>\$ 1,760</b>

**TOTAL TRAVEL: \$ 64,994 (Federal Funds)**

**EQUIPMENT**

No equipment expenditures are anticipated under this proposal.

**SUPPLIES**

No supply expenditures are anticipated under this proposal.

**CONTRACTUAL**

<b><i>Participant Name</i></b>	<b><i>Total Cost</i></b>	<b><i>Short Work Description</i></b>
TBD	\$ 48,437,677	<u>Energy Efficiency and Conservation Grant(s)</u> : These grants are intended for eligible cities and counties to implement energy efficiency and conservation projects and activities.

**TOTAL CONTRACTUAL: \$ 48,437,677 (Federal Funds)**

**CONSTRUCTION**

No construction expenditures are anticipated under this proposal.

**OTHER DIRECT COSTS**

No other direct cost expenditures are anticipated under this proposal.

**INDIRECT COSTS**

No indirect cost expenditures are anticipated under this proposal.

**COGNIZANT/OVERSIGHT AGENCY**

Mr. Leon Falbo  
National Energy Technology Laboratory  
U.S. Department of Energy  
626 Cochrans Mill Road  
P.O. Box 10940  
Pittsburgh, PA 15236-0940  
Phone: (412) 386-4647

**MATCH SHARE**

There is no match share requirement for EECBG ARRA funds.

Applicant Name: State of California, California Energy Commission

Award Number: DE-FOA-0000013

### Budget Information - Non Construction Programs

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)
1. Federal	81.041			\$49,603,400	
2.					
3.					
4.					
5. Totals		\$0	\$0	\$49,603,400	\$0
Section B - Budget Categories					
6. Object Class Categories	Grant Program, Function or Activity				
	(1) Federal	(2)	(3)	(4)	
a. Personnel	\$827,616				
b. Fringe Benefits (33%)	\$273,113				
c. Travel	\$64,994				
d. Equipment					
e. Supplies					
f. Contractual	\$48,437,677				
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)	\$49,603,400			\$0	\$0
j. Indirect Charges (21%)	\$0				
k. Totals (sum of 6i-6j)	\$49,603,400			\$0	\$0
7. Program Income					

Section C - Non-Federal Resources				
	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources
8.				
9.				
10.				
11.				
12. Total (sum of lines 8 - 11)		\$0	\$0	\$0
Section D - Forecasted Cash Needs				
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal	\$24,801,700	\$6,200,425	\$6,200,425	\$6,200,425
14. Non-Federal	\$0			
15. Total (sum of lines 13 and 14)	\$24,801,700	\$6,200,425	\$6,200,425	\$6,200,425
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	
16. Federal	\$12,400,850	\$12,400,850		
17.				
18.				
19.				
20. Total (sum of lines 16-19)	\$12,400,850	\$12,400,850	\$0	
Section F - Other Budget Information				
21. Direct Charges		22. Indirect Charges		
23. Remarks				

## Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the person to whom the instructions for this collection of information are provided by the sponsoring agency.

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column (a)** and the respective catalog number on each line in **Column (b)**.

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

**For new applications**, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

**For continuing grant program applications**, submit these for each funding period as required by the grantor agency. Enter in estimated amounts of funds which will remain unobligated at the period only if the Federal grantor agency instructions provide for these columns blank. Enter in columns (e) and (f) the amounts for the upcoming period. The amount(s) in Column (g) should be the sum of Columns (e) and (f).

**For supplemental grants and changes** to existing grants, do not enter in (a) and (d). Enter in Column (e) the amount of the increase or decrease and enter in Column (f) the amount of the increase or decrease. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same functions, and activities shown on Lines 1-4, Column (a), Section A. If additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total required (Federal and non-Federal) by object class categories.

**Lines 6a-i**—Show the totals of Lines 6a to 6h in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications, including grants and continuation grants the total amount in column (5), Line 6k should be the same as the total amount shown in Section A, Column (g), Line 5. For grants and changes to grants, the total amount of the increase or decrease in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected from the project under the program narrative statement of the nature and source of program income may be considered by the federal grantor agency in determining the total amount of the grant.

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### Section C. Non-Federal Resources

**Lines 8-11**—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Page 3 of 8

**Column (a)**—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

### Section E. Budget Estimates of Federal Funds Needed for Project

**Lines 16-19**—Enter in Column (a) the same grant program title as in Column (a), Section A. A breakdown by function or activity is not necessary.

For applications and continuation grant applications, enter in Columns (b) through (g) the amounts of Federal funds which will be needed to complete the project over the succeeding funding periods (usually in years).

**Column (b)**—Enter the contribution to be made by the applicant.

**Column (c)**—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)**—Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)**—Enter totals of Columns (b), (c), and (d).

**Line 12**—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

#### **Section D. Forecasted Cash Needs**

**Line 13**—Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14**—Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15**—Enter the totals of amounts on Lines 13 and 14.

need not be completed for revisions (amendments, change funds for the current year of existing grants. If more than four lines are needed to list the program title: schedules as necessary.

**Line 20**—Enter the total for each of the Columns (b)-(e). If schedules are prepared for this Section, annotate accordingly overall totals on this line.

#### **Section F. Other Budget Information**

**Line 21**—Use this space to explain amounts for individual cost categories that may appear to be out of the ordinary details as required by the Federal grantor agency.

**Line 22**—Enter the type of indirect rate (provisional, predetermined fixed) that will be in effect during the funding period, the base to which the rate is applied, and the total indirect

**Line 23**—Provide any other explanations or comments de

Total
(g)
\$49,603,400
\$0
\$0
\$0
\$49,603,400
Total (5)
\$827,616
\$273,113
\$64,994
\$0
\$0
\$48,437,677
\$0
\$0
\$49,603,400
\$0
\$49,603,400
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