

File No. 091368

Committee Item No. 4
Board Item No. _____

COMMITTEE/BOARD OF SUPERVISORS

AGENDA PACKET CONTENTS LIST

Committee BUDGET AND FINANCE

Date 12/9/09

Board of Supervisors Meeting

Date _____

Cmte Board

- | | | |
|-------------------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Motion |
| <input type="checkbox"/> | <input type="checkbox"/> | Resolution |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Ordinance |
| <input type="checkbox"/> | <input type="checkbox"/> | Legislative Digest |
| <input type="checkbox"/> | <input type="checkbox"/> | Budget Analyst Report |
| <input type="checkbox"/> | <input type="checkbox"/> | Legislative Analyst Report |
| <input type="checkbox"/> | <input type="checkbox"/> | Introduction Form (for hearings) |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Department/Agency Cover Letter and/or Report |
| <input type="checkbox"/> | <input type="checkbox"/> | MOU |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Grant Information Form |
| <input type="checkbox"/> | <input type="checkbox"/> | Grant Budget |
| <input type="checkbox"/> | <input type="checkbox"/> | Subcontract Budget |
| <input type="checkbox"/> | <input type="checkbox"/> | Contract/Agreement |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Award Letter |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Application |
| <input type="checkbox"/> | <input type="checkbox"/> | Public Correspondence |

OTHER

(Use back side if additional space is needed)

<input type="checkbox"/>	<input type="checkbox"/>	_____
<input type="checkbox"/>	<input type="checkbox"/>	_____
<input type="checkbox"/>	<input type="checkbox"/>	_____
<input type="checkbox"/>	<input type="checkbox"/>	_____
<input type="checkbox"/>	<input type="checkbox"/>	_____

Completed by: Gail Johnson

Date 12/4/09

Completed by: _____

Date _____

An asterisked item represents the cover sheet to a document that exceeds 25 pages. The complete document is in the file.

1 [Accept-Expend Federal Grant and Amendment to the Annual Salary Ordinance,
2 FY 2009-2010.]

3 **Ordinance authorizing the San Francisco Public Utilities Commission to accept and**
4 **expend a grant in the amount of \$7,739,300 from the U.S. Department of Energy**
5 **through the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) under the**
6 **Energy Independence and Security Act of 2007 (Pub. L. 110-140; 42 U.S.C. 17151 et**
7 **seq.) for the Municipal Building Energy Efficiency Retrofit, Community Resilience, and**
8 **Heating Systems Programs, and amending Ordinance Number 183-09 to reflect the**
9 **addition of one and seven-tenths (1.7) grant-funded positions at the Department of the**
10 **Environment.**

11 Note: Additions are single-underline italics Times New Roman;
12 deletions are ~~strikethrough italics Times New Roman~~.
13 Board amendment additions are double underlined.
Board amendment deletions are ~~strikethrough normal~~.

14 Be it ordained by the People of the City and County of San Francisco:

15 **Section 1. Findings**

16 The American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) ("ARRA") was
17 signed by President Barack Obama on February 17, 2009 and provided for more than
18 \$42,000,000,000 in appropriations for energy programs, mainly for energy efficiency and
19 renewable energy through the Energy Independent and Security Act of 2007 (Pub. L. 110-
20 140; 42 U.S.C. 17151 et seq.); and,

21 The Energy Independence and Security Act of 2007 (Pub. L. 110-140; 42 U.S.C. 17151
22 et seq.) was signed into law by President George W. Bush on December 19, 2007 and
23 provided that \$3,200,000,000 shall be available for Energy Efficiency and Conservation Block
24 Grants for implementation of programs authorized under subtitle E of title V of this Act; and,
25

Mayor
Public Utilities Commission
BOARD OF SUPERVISORS

1 On September 8, 2009 through San Francisco Public Utilities Commission (SFPUC)
2 Resolution 09-0150, the Commission authorized the General Manager or his designee to
3 apply for, accept and expend a grant in the amount of \$7,739,300 for the implementation of
4 the Municipal Building Energy Efficiency Retrofit , Community Resilience, and Heating
5 Systems Programs; and,

6 On August 17, 2009, the U.S. DOE approved a formula grant of \$7,739,300 for the
7 aforementioned programs; and,

8 The Department of Energy program guidelines provided up to ten (10) percent of total
9 grant funds or \$773,930 to be used for indirect costs.

10 This project supports the City and County of San Francisco's Climate Action Plan goal
11 of reducing Greenhouse Gas Emissions related to the building sector by providing for the City
12 and multi-family building owners to dramatically reduce energy use.

13 This project supports California's aggressive goals of reducing greenhouse gas
14 emissions under the AB32 Climate Change Initiative scoping plan.

15
16 **Section 2. Authorization to Accept and Expend Funds.**

17 The Board of Supervisors authorizes the San Francisco Public Utilities Commission to
18 accept and expend \$7,739,300 in ARRA grant funds from the U.S. Department of Energy and
19 authorizes the General Manager of the San Francisco Public Utilities Commission or his
20 designated staff to execute any documents required for the implementation of these grants,
21 including any amendments, augmentations or extensions thereof.

22 The Board of Supervisors also authorizes the General Manager of the San Francisco
23 Public Utilities Commission, or his designee(s), to approve, sign and execute an agreement to
24 hold the granting agencies harmless from liability arising out of the Programs.

1 **Section 3. Grant-funded Positions; Amendment to FY 2009-20010 Annual Salary**
 2 **Ordinance.**

3 The hereinafter designated sections and items of Ordinance No. 183-09 (Annual Salary
 4 Ordinance, FY 2009-2010) are hereby amended to add one and seven-tenths (1.7) positions
 5 in the Department of the Environment, to read as follows:

6 Department: ENV-22

7 Program: CIP - ENERGY

8 Subfund: 2S-ENV-GNC


9 Index Code: 220158

Amendment:	Number of Positions:	Class and Item No.:	Compensation Schedule:
Add	.5 FTE	1632 Senior Account Clerk	\$1,881 - \$2,287
	.5 FTE	5640 Environmental Specialist	\$2,571 - \$3,126
	.2 FTE	5642 Sr. Environmental Specialist	\$2,989 - \$3,633
	.5 FTE	5207 Associate Engineer	\$3,410 - \$4,145

17 APPROVED AS TO FORM:
 18 DENNIS J. HERRERA, City Attorney

APPROVED AS TO CLASSIFICATION
 DEPARTMENT OF HUMAN RESOURCES

19 By:

20 
 Thomas J. Owen
 Deputy City Attorney

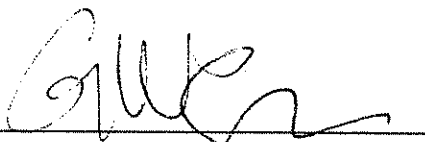
By:

21 
 Micki Callahan
 Director

22 RECOMMENDED:

23 
 24 Ed Harrington, General Manager
 Public Utilities Commission

25 
 Ben Rosenfield
 Controller

1 Approved: 
2 *for* Gavin Newsom
3 Mayor
4
5
6
7
8

9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25

Office of the Mayor
City & County of San Francisco



Gavin Newsom

TO: Angela Calvillo, Clerk of the Board of Supervisors
FROM: Mayor Gavin Newsom
RE: Ordinance authorizing the SF Public Utilities Commission to accept and expend a grant of \$7,739,300 from the US Department of Energy, through the American Recovery and Reinvestment Act, and amend the FY 2009-10 Annual Salary Ordinance.
DATE: November 24, 2009

Dear Madame Clerk:

Attached for introduction to the Board of Supervisors is an ordinance authorizing the SF Public Utilities Commission to accept and expend a grant of \$7,739,300 from the US Department of Energy, through the American Recovery and Reinvestment Act, and amend the FY 2009-10 Annual Salary Ordinance to add 1.7 grant funded FTE to the Department of the Environment. I request that this item be scheduled at the next Budget and Finance Committee (December 8, 2009) or as soon as possible.

Should you have any questions, please contact Starr Terrell (415) 554-5262.

TO: Angela Calvillo, Clerk of the Board of Supervisors
FROM: Nathan Purkiss
DATE: October 16, 2009
SUBJECT: Accept and Expend Resolution for Department of Energy Grant
GRANT TITLE: \$7,739,300 grant from the U.S. Department of Energy for the Energy Efficiency & Conservation Block Grant Program

Attached please find the original and 4 copies of each of the following:

Proposed grant resolution; original signed by Department, Mayor, Controller

Grant information form, including disability checklist

Grant application

Grant award documentation

Other (Explain):

Special Timeline Requirements:

Departmental representative to receive a copy of the adopted resolution:

Name: Nathan Purkiss

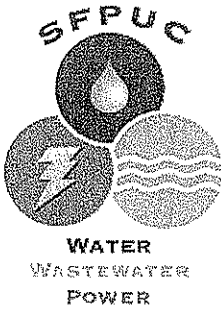
Phone: 415.554.3404

Interoffice Mail Address: SFPUC, 1155 Market St., 11th Floor

Certified copy required Yes

No

(Note: certified copies have the seal of the City/County affixed and are occasionally required by funding agencies. In most cases ordinary copies without the seal are sufficient).



SAN FRANCISCO PUBLIC UTILITIES COMMISSION

1155 Market St., 11th Floor, San Francisco, CA 94103 • Tel. (415) 554-3155 • Fax (415) 554-3161 • TTY (415) 554.3488



November 18, 2009

The Honorable Ben Rosenfield
Controller
City and County of San Francisco
1 Dr. Carlton B. Goodlett Place, Room 316
San Francisco, CA 94102

GAVIN NEWSOM
MAYOR

ANN MOLLER CAEN
PRESIDENT

F.X. CROWLEY
VICE PRESIDENT

FRANCESCA VIOTOR
COMMISSIONER

JULIET ELLIS
COMMISSIONER

ANSON B. MORAN
COMMISSIONER

ED HARRINGTON
GENERAL MANAGER

Subject: Ordinance authorizing the SFPUC to accept and expend a grant of \$7,739,300 from the US Department of Energy for energy efficiency programs and amend the FY 2009-2010 Annual Salary Ordinance.

Dear Controller Rosenfield:

Attached please find an original copy of an ordinance that requires your signature. The ordinance authorizes the SFPUC to accept and expend a grant of \$7,739,300 of American Recovery and Revitalization Act funding from the US Department of Energy for energy efficiency programs and amend the FY 2009-2010 Annual Salary Ordinance.

In this packet you will find:

- Red line original copy of the ordinance requiring your signature
- Grant information form
- Grant budget
- Grant award letter
- A copy of the Agenda Item from the SFPUC with background information on the Energy Efficiency Conservation Block Grant.

When you have signed this resolution, please forward the original copy to the Mayor's Budget Office, City Hall Room 288, for signature by the Mayor and submittal to the Clerk of the Board of Supervisors.

Sincerely,

Ed Harrington
General Manager

File Number: 091368
(Provided by Clerk of Board of Supervisors)

Grant Information Form
(Effective January 2000)

Purpose: Accompanies proposed Board of Supervisors resolutions authorizing a Department to accept and expend grant funds.

The following describes the grant referred to in the accompanying resolution:

- 1. Grant Title: **Energy Efficiency and Conservation Block Grant Program**
- 2. Department: **Public Utilities Commission**
- 3. Contact Person: **Nathan Purkiss** Telephone: **415-554-3404**
- 4. Grant Approval Status (check one):
 Approved by funding agency Not yet approved
- 5. Amount of Grant Funding Approved or Applied for: **\$7,739,300**
- 6a. Matching Funds Required: **None**
b. Source(s) of matching funds (if applicable): **Sustainable Energy Account (SEA) (for indirect costs that exceed the grant's permitted \$779,300)**
- 7a. Grant Source Agency: **U.S. Department of Energy**
b. Grant Pass-Through Agency (if applicable): **n/a**
- 8. Proposed Grant Project Summary:

This grant will fund the following three programs to be managed by the San Francisco Public Utilities Commission and implemented by the Department of Public Works and the Department of Environment
- 9. Grant Project Schedule, as allowed in approval documents, or as proposed:

Start-Date: **upon approval of the accept- &- expend resolution** End-Date: **August 16, 2012**
- 10. Number of new positions created and funded: **No new civil service positions will be created**
- 11. If new positions are created, explain the disposition of employees once the grant ends? **n/a**
- 12a. Amount budgeted for contractual services: **\$ 1,300,000**
b. Will contractual services be put out to bid? **Yes**
c. If so, will contract services help to further the goals of the department's MBE/WBE requirements? **Yes**
d. Is this likely to be a one-time or ongoing request for contracting out? **One-time**
- 13a. Does the budget include indirect costs? Yes No

b1. If yes, how much? \$ 773,000

b2. How was the amount calculated? This is the maximum of 10 percent of the grant per federal regulations

c. If no, why are indirect costs not included?

Not allowed by granting agency

To maximize use of grant funds on direct services

Other (please explain):

14. Any other significant grant requirements or comments:

15. This Grant is intended for activities at (check all that apply):

Existing Site(s)

Existing Structure(s)

Existing Program(s) or Service(s)

Rehabilitated Site(s)

Rehabilitated Structure(s)

New Program(s) or Service(s)

New Site(s)

New Structure(s)

16. The Departmental ADA Coordinator and/or the Mayor's Office on Disability have reviewed the proposal and concluded that the project as proposed will be in compliance with the Americans with Disabilities Act and all other Federal, State and local access laws and regulations and will allow the full inclusion of persons with disabilities, or will require unreasonable hardship exceptions, as described in the comments section:

Comments: **No grant funds have been expended at this time.**

Departmental or Mayor's Office of Disability Reviewer: Nathan Purkiss
(Name)

Date Reviewed: 10/15/2009

Department Approval: Ed Harrington, General Manager
(Name) (Title)


(Signature)

BUDGET

SFPUC's US DOE Energy Efficiency & Conservation Block Grant Programs

Project Title: Municipal Building Energy Efficiency Retrofit Program

Brief

Description: Funding for this grant is provided by the American Recovery and Reinvestment Act of 2009 (Pub. Law 111-05) under the Energy Independence and Security Act of 2007 (Pub. Law 110-140). This program is comprised of capital projects proposed by the SFPUC's Energy Efficiency Group because they meet the criteria set forth in the American Recovery and Reinvestment Act of 2009 ("ARRA") of creating jobs and increasing energy efficiency. These projects also meet the local policy criterion of providing benefits to local communities. As such, SFPUC staff, in collaboration with the Mayor's Office, the Capital Planning Committee, and stakeholders proposed the following municipal buildings to have energy efficiency retrofits: 1) Southeast Health Center; 2) Ocean Park Health Center; 3) County Jails #8 and #9; 4) County Jail #5; 5) Women's Reentry Center; 6) African American Cultural Center; 7) the Mission Cultural Center; 8) SomArts Cultural Center; 9) Ella Hill Hutch Center, and 10) Chinatown Health Center.

The U.S. Department of Energy ("DOE") notified SFPUC that a grant totaling \$7,739,300 was approved on August 17, 2009. Per federal grant regulations, all funds must be fully expended no later than August 16, 2012 and any cost overruns and/or indirect costs that exceed the grant maximum of ten (10) percent, or \$773,930, will be borne by the SFPUC.

Line Item Budget for U.S. DOE EECBG Grant – Municipal Building Energy Efficiency Retrofit Program

Preliminary Engineering & Design*	Construction	Construction Engineering*	Construction Contingency**	Total Construction**	U.S. DOE Funds	Local Matching Funds
\$ 543,543	\$ 1,943,207	\$ 414,264	\$215,911	\$ 3,116,925	\$ 3,116,925	\$ 0

* Estimated indirect costs exceeding the maximum allowable of \$773,930 will be paid from Power Enterprise SEA funds. Total indirect costs, including COWCAP, for the Municipal Building Energy Efficiency Retrofit Program totaled \$601,533 of which only \$311,693 will be met by the grant. Therefore, SFPUC anticipates funding \$289,840 from SEA to cover indirect costs for this program.

** The Energy Efficiency Group applied standard engineering curves in estimating its labor and construction costs. Because the US DOE did not require a separate line item for construction contingency, SFPUC embedded \$215,912 into its construction budget for that purpose.

Because the DOE required the use of a federally-approved indirect cost plan in order for indirect costs to be eligible for reimbursement, the SFPUC estimated its indirect costs, including COWCAP, using the Department of Public Works' Indirect Cost Plan as approved by the U.S. Department of Transportation, Federal Highway Administration as the SFPUC is similar in structure to DPW. A copy of this report is included as background information for this accept and expend resolution.

Project Schedule:	Preliminary Engineering and Design	09/2009-03/2011
	Construction	04/2011-08/2012

SFPUC & DPW Staff Costs for Preliminary Engineering & Design*, **

Position	Hours	Hourly Rate	Total
5602 Utility Specialist	362	\$153.84	\$ 55,690
0931 Manager III	84	\$163.30	\$ 13,717
1446 Executive Secretary II	414	\$ 77.96	\$ 32,275
5502 Project Manager	76	\$172.45	\$ 13,106
5268 Architect	54	\$164.46	\$ 8,881
5265 Associate Architect	164	\$122.12	\$ 20,028
5211 Senior Engineer - Mechanical	208	\$190.38	\$ 39,599
5241 Engineer – Mechanical	300	\$164.46	\$ 49,338
5207 Associate Engineer – Mechanical	760	\$142.09	\$107,990
5211 Senior Engineer - Electrical	320	\$190.38	\$ 60,922
5241 Engineer – Electrical	156	\$164.46	\$ 25,655
5207 Associate Engineer - Electrical	340	\$142.09	\$ 48,311
5207 Engineer – Contract Prep	488	\$142.09	\$ 69,340
TOTAL			\$544,851

SFPUC & DPW Staff Costs for Construction Engineering*, **

Position	Hours	Hourly Rate	Total
5211 Senior Engineer – Mechanical	160	\$190.38	\$ 30,461
5207 Engineer – Resident Engineer	600	\$142.09	\$ 85,254
6318 Construction Inspector	600	\$123.31	\$ 73,986
5502 Project Manager	408	\$172.45	\$ 70,360
5602 Utility Analyst – Energy Efficiency	740	\$153.84	\$113,842
0931 Manager III	138	\$163.30	\$ 22,535
1446 Secretary II	242	\$ 77.96	\$ 18,866
TOTAL			\$ 415,304

* Hourly rates include Mandatory Fringe Benefits, Paid Time Off, & estimated overhead as described in DPW's Indirect Cost Plan (Page 4; BOA rates were used for budget estimation in SFPUC's application to the US DOE.)

** A rounding error of \$1,308 resulted in Preliminary Engineering and Design and \$1,040 in Construction Engineering due to using BOA's overhead rate of 169.47% for each labor classification and then rounding to the whole dollar amount.

Subsequent to SFPUC's application being submitted to the U.S. DOE, SFPUC received revised cost estimates from the Department of Public Works ("DPW") showing cost reductions for the Southeast and Ocean Park Health Centers. These cost savings arose from subsequent inspections by DPW engineering to more closely define the scope, the Department of Public Health ("DPH") and SFPUC. These cost savings resulted in the SFPUC being able to fund the next eligible project from the Municipal Building Energy Efficiency Retrofit Program, the Chinatown Health Center.

The SFPUC is submitting its Engineers Cost Estimates for Municipal Building Energy Efficiency Retrofit Program" that was the basis for the grant application to the U.S. DOE as an attachment.

SFPUC is also submitting the revised Engineers Cost Estimate that includes the original seven (7) projects showing revised engineers cost estimates for the Southeast and Ocean Park Health Centers plus an engineer's cost estimate for Chinatown Health Center.

Both the SFPUC and DPW are continuing to refine cost estimates for this program to reflect the current economic bid climate. Additional projects that meet the EECBG criteria may be funded provided additional cost savings are found from the Municipal Building Energy Efficiency Retrofit Program.

BUDGET

SFPUC's US DOE Energy Efficiency & Conservation Block Grant Programs

Project Title: Community Resilience Program

Brief

Description: Funding for this grant is provided by the American Recovery and Reinvestment Act of 2009 (Pub. Law 111-05) under the Energy Independence and Security Act of 2007 (Pub. Law 110-140). U.S. DOE notified the City that a grant totaling \$7,739,300 was approved on August 17, 2009.

This program is comprised of community outreach, on-site Home Assessments for approximately 5,000 tenants and homeowners, and incentives for energy efficiency retrofit of approximately 433 private sector dwelling units. This program meets the criteria set forth in the American Recovery and Reinvestment Act of 2009 ("ARRA") of creating 52.4 jobs and increasing energy efficiency. These projects also meet the local policy criterion of providing benefits to local communities by utilizing local home performance and residential retrofit contractors.

The Community Resilience program leverages existing City efforts to organize neighborhoods around various issues including public safety and disaster preparedness to make our communities more resilient to disasters. This program will add a climate, energy, water, composting, and victory garden awareness and action component to increase the resilience against resource shortages and price increases.

An estimated \$459,100 will be expended to engage local community based organizations on a performance basis to provide education through presentations and provide comprehensive Home Resiliency assessments upon request to tenants and owners. A budgeted amount of \$35,525 will be expended on training for those community-based home assessment workers. The department has budgeted \$51,580 to be expended on home resiliency kits and a home resiliency checklist to help tenants and home owners take immediate action without a contractor.

Additionally, the program will provide \$649,500 in incentives for home performance retrofits for home owners and owners of buildings with 2-4 units. To qualify for the incentive, each project must improve the Home Energy Rating score and add other simple measures that conform to other City goals, e.g. water conservation measures.

This program will market and coordinate with the City's proposed Mello-Roos financing for energy and water retrofits if approved by the Board and implemented.

The funds for community-based organizations and the incentive funds will be passed through SFE's existing contractor already performing this task, ICF International (BPEV07000010). ICF works with local contractors that perform the Home Performance work. Additionally, ICF will expend \$30,525 on training of the Home Resiliency assessors. ICF will incur \$89,016 in additional costs to modify the existing database, enter data, process payments, and perform assigned verification and evaluation tasks.

The ARRA funded incentives will leverage private investment and may leverage other incentive funds under an existing contract with PG&E (Resolution 463-06, File #061070) and/or the next contract with PG&E expected to be in place by a date to be determined by the California Public Utilities Commission under proceeding A.08-07-021.

Line Item Budget for U.S. DOE EECBG Grant – Community Resilience Program

Personnel	Professional Services (ICF)	Incentives (ICF)	Materials and Supplies	Training & Travel (SFE Staff)	U.S. DOE Funds
\$272,201	\$1,195,045	\$649,500	\$51,580	\$900	\$ 2,169,226

Project Schedule: First Training 11/2009
 Last Training 03/2011
 First Incentives 11/2009
 Last Incentives 09/2011

SFE Staff Costs

Position	Hours	Hourly Rate*	Total
5207 Associate Engineer - Mechanical	682.4	\$95.08	\$296,637
5640 Sr. Environmental Specialist	2080	\$72.90	\$34,666
1632 Sr. Account Clerk	1040	\$52.46	\$21,823
TOTAL			\$272,201**

* Hourly rates include Mandatory Fringe Benefits, Paid Time Off, & estimated Overhead.

** A rounding error of \$.07 results from using fractional hours.

BUDGET

Department of Environment's US DOE Energy Efficiency & Conservation Block Grant Programs

Project Title: Heating Systems

Brief

Description: Funding for this grant is provided by the American Recovery and Reinvestment Act of 2009 (Pub. Law 111-05) under the Energy Independence and Security Act of 2007 (Pub. Law 110-140). U.S. DOE notified the City that a grant totaling \$7,739,300 was approved on August 17, 2009.

This program is comprised of incentives for retrofit of old heating systems in private sector multi-family buildings. Department of Environment (SFE) staff will identify and implement heating system retrofit projects and offer an incentive to induce building owners to contract for the retrofits. SFE has estimated 133 heating systems will be retrofit under this program. This program meets the criteria set forth in the American Recovery and Reinvestment Act of 2009 ("ARRA") of creating 74.4 jobs and increasing energy efficiency. These projects also meet the local policy criterion of providing benefits to local communities and will utilize local contractors.

Approximately \$1,995,000 in incentive funds will be passed to building owners through SFE's existing contractor already performing this task for SFE, ICF International (BPEV07000010). ICF will incur \$69,424 in additional costs to modify the existing database, enter data, process payments, and perform assigned evaluation tasks.

SFE has budgeted \$1600 in Training and Travel for SFE staff to attend a heating systems training to remain current on new techniques and products.

The ARRA funded incentives will leverage other incentive funds already provided under an existing contract with PG&E (Resolution 463-06, File #061070).

This program will market and coordinate with the City's proposed Mello-Roos financing for energy and water retrofits if approved by the Board and implemented.

Line Item Budget for U.S. DOE EECBG Grant – Municipal Building Energy Efficiency Retrofit Program

Personnel	Professional Services	Incentives	Training & Travel	U.S. DOE Funds
\$353,126	\$ 69,424	\$ 1,995,000	\$1,600	\$2,453,149

Project Schedule: First incentive disbursed: 11/2009
 Last incentive disbursed: 08/2011

SFE Staff Costs

Position	Hours	Hourly Rate	Total
5207 Associate Engineer - Mechanical	3477.6	\$95.08	\$330,636
5642 Sr. Environmental Specialist	416	\$83.33	\$34,666
1632 Sr. Account Clerk	416	\$52.46	\$21,823
TOTAL			\$387,125

* Hourly rates include Mandatory Fringe Benefits, Paid Time Off, & estimated Overhead.

** A rounding error of \$.43 results from using whole hours.

(

(

.....

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

I. INTRODUCTION

The development of an Indirect Cost Plan for the Department of Public Works is conceptually based on a 1978 procedures manual titled "City and County of San Francisco Wastewater Management Program Indirect Cost Rate Proposal" prepared by Touche Ross & Company. Consistent with the changes made in 1990-91, the 2008-09 Indirect Cost Plan bases the estimate for Paid Time Off on actuals rather than accruals.

Mandatory fringe benefits (MFB) are now based on actual rates as calculated by the Controller's Office. Each budgeted position has its own MFB rate based on the particular Memorandum of Understanding negotiated by its union. Section IV, page 4, column 2 shows an average per bureau. In 1995-96 and prior fiscal years this rate was calculated and the Indirect Cost Plan used one rate for all the Bureaus.

II. PROCEDURE

A. RATES

Under this plan, fringe benefit rates and three areas of indirect costs (overhead) will be accounted for in developing a total fringe/indirect cost rate applicable to each bureau. They are as follows:

1. BUREAU INDIRECT COSTS (Section IV, Pg. 4, Col. 7)

This is the bureau's own overhead, the cost of which is spread across the programs under the jurisdiction of each bureau, except BOA, BOE, and BCM. These three bureaus (Tribureaus) have combined their bureau's overhead costs and are spread across the programs and projects under the three bureaus to develop a common, uniform overhead rate.

2. DPW ADMINISTRATION COSTS (Section IV, Pg. 4, Col. 8)

This is the departmental overhead and includes (a) Director's Office (DIR), the cost of which is spread across all the programs of DPW, (b) the Office of Financial Management and Administration (OFFMA), the cost of which is spread across all the programs of DPW except DIR, and (c) Deputy Director for Operations (DDO) and Deputy Director for Engineering (DDE), the cost of which is spread across all the programs within the applicable bureaus of each Deputy Director.

3. COWCAP (Section IV, Pg. 4, Col. 11)

This is the Countywide Cost Allocation Plan, the City's overhead. This plan is prepared each year by the City's Office of the Controller and submitted to the State Controller's Office for approval (see Appendix C). The cost of COWCAP is spread across all the non-service bureaus of DPW. The COWCAP rate is only used for billing agencies other than the City and County of San Francisco.

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

4. PAID TIME OFF (Section IV, Pg. 4, Col. 3)

The base for calculating the Departmental PTO rate is direct labor.

5. MANDATORY FRINGE BENEFITS (Section IV, Pg. 4, Col. 2)

Mandatory Fringe Benefits are based on actual rates as calculated by the Controller's Office. An average rate per bureau is shown here for estimating purposes.

B. BASE

For purposes of this Indirect Cost Plan, the base that is used to establish the indirect rates is DIRECT LABOR. The utilization of direct labor as the base is in accordance with the policy of the Controller of the City and County of San Francisco.

C. TABLES

Four tables have been developed to arrive at an Indirect Cost rate for each bureau:

1. Table I (Page 6) shows the Estimated Labor Calculations for each bureau based on projected direct salaries reduced by an estimated paid time off factor, except as noted.

2. Table II (Page 7) shows the Distribution of Adjusted DPW Administration Indirect Costs to the various Bureaus. The methodology employed for Fiscal Year 2008-09 uses the number of filled Permanent budget positions in the bureaus from the Personnel Status Summary Report adjusted for new positions as the basis for calculating percentages for distribution of the cost of services of DPW Administration to each bureau. The number of positions in the General Administration divisions is based on budgeted positions. Following is a description of the major columns shown in Table II:

Col. (3) The adjusted indirect cost of the Director's Office is distributed among the bureaus/offices.

Col. (5) The adjusted indirect costs of OFFMA is distributed among the bureaus/offices using their services.

Col. (7) The adjusted indirect costs of the Deputy Director for Engineering and the Deputy Director for Operations are distributed among the various bureaus under their respective jurisdictions.

Col. (8) The total Director's Office, OFFMA, and Deputy Director's indirect costs are distributed among the bureaus of the department.

3. Table III (Page 8) shows the distribution of the Department of Public Works' COWCAP Costs based on the County-wide Costs Allocation Plan for the Fiscal Year ending June 30, 2008. (See Appendix C, Page 24)

4. Tables IV, IVa, and IVb (Pages 9 and 10) show the calculation of each bureau's Fixed with Carry-Forward Indirect Costs Rates.

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

D. CARRY-FORWARD CALCULATIONS

Calculation of the carry-forward adjustments requires that (1) the difference between the actual expenditures and actual recoveries from two fiscal years prior be calculated and (2) that this difference be further modified by the carry-forward adjustments calculated from four fiscal years prior. The determined carry-forward adjustment is then applied against the estimated costs for the subject fiscal year.²

Two types of carry-forward calculations are required to arrive at an adjusted rate for the fiscal year:

1. Bureau Indirect Costs

There are two elements: Bureau Indirect Labor (Appendix F - Page 26) and Bureau Indirect Non-Labor (Appendix G - Page 27).

2. DPW Administration (Appendix H - Page 28)

² The 1978 Procedure Manual, prepared by Touche Ross & Company, provides that the carry-forward adjustments must be carried to the second fiscal year following the period being adjusted. For example, the 1978-79 adjustment is carried forward to 1980-81.

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

SECTION IV

**SUMMARY OF FIXED WITH CARRY-FORWARD RATES
FISCAL YEAR 2008-2009
FIXED WITH CARRY-FORWARD FRINGE/INDIRECT COST rates to be applied
against DIRECT LABOR as developed from Tables I, II, III, IV, IVa and IVb
are summarized as follows:**

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
BUREAU	FRINGES			BUREAU OVERHEAD			DPW ADMIN (DEPT O/H)	TOTAL O/H (COL 7 + COL 8)	SUMMARY OF RATES FOR FPS (COL 4 + COL 9)	COWCAP (CITY O/H)	SUMMARY OF RATES (INCL COWCAP) (COL 10 + COL 11)
	MAND. FRINGE BENEFITS*	PAIDTIME OFF(PLUS MFB)	TOTAL FRINGES (COL 2+ COL 3)	INDIRECT LABOR (PLUS PTO & MFB)	INDIRECT NON- LABOR	TOTAL BUREAU O/H (COL 5 + COL 6)					
BOA	21.85%	23.99%	45.84%	30.83%	33.09%	63.92%	36.55%	100.47%	146.31%	23.16%	169.47%
BBR	29.30%	23.99%	53.29%	28.30%	12.17%	40.47%	41.72%	82.19%	135.48%	-	135.48%
BOE	21.85%	23.99%	45.84%	37.27%	26.65%	63.92%	36.55%	100.47%	146.31%	19.97%	166.28%
SES	29.24%	23.99%	53.23%	1.82%	35.13%	36.95%	32.42%	69.37%	122.60%	7.04%	129.64%
SSR	27.17%	23.99%	51.16%	13.49%	40.39%	53.88%	36.74%	90.62%	141.78%	-	141.78%
BCM	21.85%	23.99%	45.84%	26.14%	37.78%	63.92%	36.55%	100.47%	146.31%	15.22%	161.53%
BSM	24.54%	23.99%	48.53%	15.83%	21.23%	37.06%	35.75%	72.81%	121.34%	41.31%	162.65%
BUF	28.89%	23.99%	52.88%	11.97%	33.30%	45.27%	36.28%	81.55%	134.43%	27.24%	161.67%

(*) THE MFB IS AN AVERAGE OF THE ACTUAL RATE AS CALCULATED IN BPREP, BY BUREAU.

Column Explanations:

Col. (1) - See page 23 for three letter designation

Col. (2) - Average actual rate in BPREP

Col. (3) - From Appendix E

BBR, SES, SSR, BSM, and BUF

Col. (5) - From Table IV, Col. 3

Col. (6) - From Table IV, Col. 5

Col. (8) - From Table IV, Col. 7

BOA, BOE, and BCM

Col. (5) - From Table IVb, Col. 3

Col. (6) - From Table IVb, Col. 5

Col. (8) - From Table IVa, Col. 5

Col. (11) - From Table IV, Col. 9

Note: Mandatory fringe benefit rates are based on actual calculations by the Controller's Office and an average rate for the Bureau is stated here. Rates vary between Bureaus because they are calculated based on individual position classifications and their union Memorandums of Understanding which may vary between classifications. These rates are no longer fixed per Bureau as in 1995-96 and prior years. Actual fringes charged to projects will be based on actual charges by the Controller's Office to specific classifications/cost centers.

ICP09DEPT-FINAL.XLS

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

V. DEFINITIONS

LABOR	Dollars for time worked.
SALARIES	Dollars for time worked plus dollars for paid time off (Total pay for 261 days).
PAID TIME OFF	Dollars for paid time off (est. 42 days). Part of salaries.
MANDATORY FRINGE BENEFITS	Dollars for mandatory fringe benefits which are retirement, Health Service, Social Security, and unemployment insurance.
FRINGES	Mandatory fringe benefits plus paid time off.
DIRECT PROJECT	A work activity whose primary purpose is the accomplishment of a specific objective or service delivery.
DIRECT LABOR	Dollars for time worked on a direct project.
DIRECT NON-LABOR	Costs incurred for materials, supplies, equipment and services that <u>can</u> be identified with a specific direct project.
DIRECT COSTS	Costs which are readily attributable to the accomplishment of a specific direct project. These costs are direct labor, MFB for direct labor, PTO (and associated MFBs) for direct labor, and direct non-labor.
INDIRECT LABOR	Dollars for time worked for support or administration which <u>cannot</u> be readily attributable to a specific direct project.
INDIRECT NON-LABOR	Costs incurred for materials, supplies, equipment and services that <u>cannot</u> be identified with a specific direct project.
INDIRECT COSTS	Costs that <u>cannot</u> be readily attributable to a specific direct project. These costs are indirect labor, MFB for indirect labor, PTO (and associated MFBs) for indirect labor, and indirect non-labor.
DPW ADMINISTRATION	Departmental overhead costs which are proportionately shared by all the bureaus. (See page 2 for details)
FIXED WITH CARRY-FORWARD FRINGE/INDIRECT COST RATE	A rate applied to direct labor that is based on projected direct and indirect costs and is subject to future adjustments to reflect <u>actual</u> costs.

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE I

DEPARTMENT OF PUBLIC WORKS
ESTIMATED LABOR CALCULATIONS
FISCAL YEAR 2008-2009

BUREAU	(1) PROJECTED SALARIES	(2) ESTIMATED PTO (COL 1x16.09)	(3) ESTIMATED LABOR (COL 1-2)
DIRECT:			
(a) BOA	\$6,186,436	\$995,518	\$5,190,918
(b) BBR	\$13,773,634	\$2,216,447	\$11,557,187
(a) BOE	\$11,753,032	\$1,891,293	\$9,861,739
(b) SES	\$19,875,396	\$3,198,340	\$16,677,056
(b) SSR	\$6,147,606	\$989,270	\$5,158,336
(a) BCM	\$8,671,887	\$1,395,476	\$7,276,411
(b) BSM	\$6,359,154	\$1,023,312	\$5,335,842
(b) BUF	\$7,075,264	\$1,138,548	\$5,936,716
TOTAL DIRECT	\$79,842,409	\$12,848,204	\$66,994,205

- a. BOA, BOE, and BCM Direct and Indirect Labor as per Tribureaus Indirect Costs and Direct Labor Projection Sheet.
- b. Direct Labor projections based on FY 2007-08 actuals adjusted for 08-09 changes
- c. There are 261 working days in FY 2008-09. Assume an average of 42 Paid Time Off days per year (13 sick leave days, 11 holidays, 5 floating holidays and an average of 13 vacation days). $42/261 = 0.1609$

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE II

DEPARTMENT OF PUBLIC WORKS
DISTRIBUTION OF ADJUSTED DPW ADMINISTRATION INDIRECT COSTS FROM APPENDIX H
FOR FISCAL YEAR 2008-2009

BUREAU/ OFFICE	(1) NUMBER OF PERM. FILLED POSITIONS *	(2) % FOR DIR DISTRIBUTION	(3) \$ DISTRIBUTED FOR DIR	(4) % FOR FMA DISTRIBUTION	(5) \$ DISTRIBUTED FOR FMA	(6) % FOR DEPUTY DIRECTORS DISTRIBUTION	(7) \$ DISTRIBUTED FOR DEPUTY DIRECTORS	(8) TOTAL DOLLARS DISTRIBUTED
DIR	12	-	-	-	-	-	-	-
FMA	37	3.48%	\$280,350	-	-	-	-	-
DDE	22	2.07%	\$166,760	2.15%	\$261,596	-	-	-
BOA	68	6.40%	\$515,587	6.63%	\$809,591	18.12%	\$499,735	\$1,824,909
BOE	131	12.34%	\$994,115	12.78%	\$1,560,568	34.94%	\$963,616	\$3,518,299
BCM	105	9.89%	\$796,742	10.24%	\$1,250,408	27.99%	\$771,941	\$2,819,091
DDO	18	1.69%	\$136,147	1.76%	\$214,914	-	-	-
BBR	206	19.40%	\$1,562,872	20.10%	\$2,454,415	33.77%	\$804,274	\$4,821,561
SES	231	21.75%	\$1,752,189	22.54%	\$2,752,364	37.87%	\$901,921	\$5,406,474
SSR	81	7.63%	\$614,676	7.90%	\$964,671	13.27%	\$316,042	\$1,895,389
BUF	92	8.66%	\$697,653	8.98%	\$1,096,550	15.09%	\$359,387	\$2,153,590
BSM	71	6.69%	\$538,949	6.93%	\$846,224	18.94%	\$522,350	\$1,907,523
OTHERS					\$217,038			\$217,038
TOTAL	1,074	100.00%	\$8,056,041	100.00%	\$12,428,058	100.00%	\$2,757,918	\$24,563,874
	1,074	<u>100.00%</u>	8,056,040	100.01%	12,428,339	100.00%	\$2,381,624	\$0
Less: DIR		1,062				100.00%	\$2,757,642	\$0
Less: DIR & OFFMA				1,025		100.00%	\$2,381,624	
Less: Flow-through Costs (see (a) and (b) below)			\$583,257		\$476,510			
NET DISTRIBUTION			\$7,472,784	plus	\$11,951,549	plus	\$5,139,542	\$24,563,874
(a) DIR/CLMS:	OFFMA	\$280,350	DDE	\$166,760	DDO	\$136,147	equals	\$583,257
(b) OFFMA:			DDE	\$261,596	DDO	\$214,914	equals	\$476,510
(c) Total FMA Cost:	(appendix H)	\$12,147,708	plus DIR flow-thru	\$280,350			equals	\$12,428,058
(d) Total DDE Cost:	(appendix H)	\$2,329,562	plus DIR flow-thru	\$166,760	plus FMA flow-thru	\$261,596	equals	\$2,757,918
(e) Total DDO Cost:	(appendix H)	\$2,030,563	plus DIR flow-thru	\$136,147	plus FMA flow-thru	\$214,914	equals	\$2,381,624

* This Indirect Cost Plan uses filled Permanent and Provisional positions from the Personnel Status Summary Report dated 12/31/2007 plus adjustments for new employees.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE III

DEPARTMENT OF PUBLIC WORKS
DISTRIBUTION OF COWCAP COSTS
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
BUREAU/ OFFICE	COWCAP ALLOCATION (DOLLARS)	DIR DISTRIBUTION PERCENT	DIR DOLLARS	FMA DISTRIBUTION PERCENT	FMA DOLLARS	DEPUTY DIRECTORS DISTRIBUTION PERCENT	DEPUTY DIRECTORS DOLLARS	TOTAL DOLLARS DISTRIBUTED
DIR	9,212,852	-	-	-	-	-	-	-
FMA	-	4.32%	399,494	-	-	-	-	-
DDE	-	2.57%	236,770	2.69%	10,746	-	-	-
BOA	393,125	7.94%	730,909	8.30%	33,158	18.13%	44,875	1,202,067
BOE	409,362	15.30%	1,409,566	16.00%	63,919	34.93%	86,457	1,969,304
BCM	(143,247)	12.27%	1,130,417	12.82%	51,215	28.00%	69,304	1,107,689
DDO	-	2.10%	193,470	2.20%	8,789	-	-	-
BBR (Srv. Bur.)	-	-	-	-	-	-	-	-
SES	(1,540,880)	26.99%	2,486,549	28.21%	112,697	57.18%	115,652	1,174,018
SSR	(2,764,758)	9.46%	871,536	9.89%	39,510	20.05%	40,553	(1,813,159)
BSM	1,359,096	8.29%	763,745	8.67%	34,636	18.93%	46,855	2,204,332
BUF	536,024	10.75%	990,382	11.23%	44,863	22.77%	46,054	1,617,323
TOTAL	7,461,574	100.00%	9,212,852	100.00%	399,494	100.00%	247,516	7,461,574
		99.99%	9,212,838	100.01%	399,533	100.00%	202,259	7,461,574

Less: DIR & BBR	856					375 employees in BOA, BOE, BCM, & BSM
Less: DIR, FMA, and BBR				819		404 employees in BSES, SSR & BUF
Less: Flow-through			829,734		19,535	
Net Distribution			8,383,118	plus	379,959	plus \$77*,8 equal \$9,212,852

(a) DIR Flow-through:	FMA	\$399,494	plus DDE	\$236,770	plus DDO	\$193,470	equal	\$829,734
(b) FMA Flow-through:	DDE	\$10,746	plus DDO	\$8,789			equal	\$19,535

Notes:

(*) From Cost Allocation Plan-Year Ending June 30, 2008 (pages 9 & 10)

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE IV

DEPARTMENT OF PUBLIC WORKS
FIXED WITH CARRY-FORWARD
INDIRECT COST RATE CALCULATIONS
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
BUREAU	ESTIMATED DIRECT LABOR	ADJ INDIRECT LABOR (PLUS PTO & MFB)	RATE FOR INDIRECT LABOR	ADJUSTED INDIRECT NON-LABOR	RATE FOR INDIRECT NON-LABOR	ADJUSTED DPW ADMIN	RATE FOR DPW ADMIN	COWCAP (CITY OVERHEAD)	RATE FOR COWCAP
	TABLE I COL (3)	APPENDIX F, COL (7)	COL (2)/ COL (1)	APPENDIX G, COL (7)	COL (4)/ COL (1)	TABLE II, COL (8)	COL (6)/ COL (1)	TABLE III, COL (8)	COL (8)/ COL (1)
BOA	\$5,190,918	\$1,503,440	28.96%	\$1,613,325	31.08%	\$1,824,909	35.16%	\$1,202,067	23.16%
BBR	\$11,557,187	\$3,271,034	28.30%	\$1,407,020	12.17%	\$4,821,561	41.72%	-	-
BOE	\$9,861,739	\$3,542,868	35.93%	\$2,533,779	25.69%	\$3,518,299	35.68%	\$1,969,304	19.97%
SES	\$16,677,056	\$303,977	1.82%	\$5,859,280	35.13%	\$5,406,474	32.42%	\$1,174,018	7.04%
SSR	\$5,158,336	\$695,785	13.49%	\$2,083,654	40.39%	\$1,895,389	36.74%	(\$1,813,159)	-
BCM	\$7,276,411	\$1,906,323	26.20%	\$2,755,217	37.87%	\$2,819,091	38.74%	\$1,107,689	15.22%
BSM	\$5,335,842	\$844,598	15.83%	\$1,132,903	21.23%	\$1,907,523	35.75%	\$2,204,332	41.31%
BUF	\$5,936,716	\$710,691	11.97%	\$1,977,203	33.30%	\$2,153,590	36.28%	\$1,617,323	27.24%
TOTAL	\$66,994,205	\$12,778,717		\$19,362,380		\$24,346,836		\$7,461,574	

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE IVa

DEPARTMENT OF PUBLIC WORKS
TRIBUREAU COMBINED RATE
DEPARTMENT AND BUREAU RATE CALCULATION
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
BUREAU	LHH DIRECT LABOR	ALL OTHER DIRECT LABOR	TOTAL DIRECT LABOR	ADJUSTED DPW ADMIN	RATE FOR DPW ADMIN	ADJ. INDIRECT LABOR (PLUS PTO & MFB)	ADJ. INDIRECT NON-LABOR	ADJUSTED INDIRECT LABOR AND NON-LABOR	LHH RECOVERY FOR HRC	TOTAL INDIRECT LABOR PLUS NON-LABOR	RATE FOR INDIRECT LABOR AND NON-LABOR
	TRIBUREAU PROJECTION SHEET, COL. (D)	COL. (C)	COL (1) PLUS COL (2)	TABLE II, COL (8)	COL (4)/ COL (3)	APPENDIX F, COL (7)	APPENDIX G, COL (7)	COL (6) PLUS COL (7)	5.22% X COL (1)	COL (8) MINUS COL (9)	COL (10) / COL (2)
BOA	123,796	\$5,067,121	5,190,917	\$1,824,909		\$1,503,440	\$1,613,325	\$3,116,765	6,467	\$3,110,299	
BOE	152,196	\$9,709,543	9,861,739	\$3,518,299		\$3,542,868	\$2,533,779	\$6,076,647	7,950	\$6,068,697	
BCM	434,496	\$6,841,915	7,276,411	\$2,819,091		\$1,906,323	\$2,755,217	\$4,661,540	22,697	\$4,638,843	
TOTAL	710,489	\$21,618,579	\$22,329,068	\$8,162,299	36.55%	\$6,952,632	\$6,902,321	\$13,854,952	\$37,114	\$13,817,839	63.92%

TABLE IVb

DEPARTMENT OF PUBLIC WORKS
TRIBUREAU'S COMBINED BUREAU OVERHEAD RATE CALCULATIONS
FISCAL YEAR 2008-2009

BUREAU	(1) RATE FOR INDIRECT LABOR AND NON-LABOR	(2) INDIRECT LABOR SPLIT	(3) RATE FOR INDIRECT LABOR	(4) INDIRECT NON-LABOR SPLIT	(5) RATE FOR INDIRECT NON-LABOR
	TABLE IVa COL. (11)	TABLE IV, COL (3)/ COL (3) PLUS COL (5)	COL (1) X COL (2)	TABLE IV, COL (5)/ COL (3) PLUS COL (5)	COL (1) X COL (4)
BOA	63.92%	0.48	30.83%	0.52	33.09%
BOE	63.92%	0.58	37.27%	0.42	26.65%
BCM	63.92%	0.41	26.14%	0.59	37.78%

Notes:

COL (2) & (4) The indirect labor/non-labor rate ratio in Table IV is applied to the combined rate.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

DIRECTOR'S OFFICE
 (DPW Administration Overhead Fund)

LABOR:

- 12 00101 Permanent Salaries Miscellaneous
 - 1 0932 Manager IV
 - 2 0941 Manager VI
 - 1 0964 Department Head IV
 - 1 1314 Public Relations Officer
 - 1 1402 Junior Clerk
 - 1 1404 Clerk
 - 2 1450 Exec. Secretary I
 - 1 1824 Pr. Administrative Analyst
 - 1 6318 Construction Inspector
 - 1 8247 Emergency Plan Coordinator

DIRECTOR'S OFFICE

Character Level
 Summary

OBJECT TITLE	PHASE D
Character 001 Salaries	\$1,174,717
Character 013 Mandatory Fringe Benefits	297,911
Character 013 Health Subsidy & Admin	5,847,495
LABOR SUBTOTAL	<u>\$7,320,123</u>
Character 021 Non Personal Services	25,881
Character 040 Materials & Supplies	18,496
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	1,080,014
NON-LABOR SUBTOTAL	<u>\$1,124,391</u>
FINAL BUDGET TOTAL	\$8,444,514

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

OFFICE of FINANCIAL MANAGEMENT & ADMINISTRATION
 (DPW Administration Overhead Fund)

LABOR:

63 00101 Permanent Salaries Miscellaneous

1	0923 Manager II	1	1630 Account Clerk
3	0931 Manager III	3	1632 Senior Account Clerk
1	0932 Manager IV	3	1634 Principal Account Clerk
4	0933 Manager V	4	1652 Senior Accountant
2	0941 Manager VI	8	1654 Principal Accountant
1	0942 Manager VII	1	1656 Head Accountant
1	0954 Deputy Director IV	3	1657 Sr. System Accountant
1	1022 IS Administrator II	1	1822 Administrative Analyst
3	1043 IS Engineer – Senior	4	1823 Sr. Administrative Analyst
3	1044 IS Engineer – Principal	3	1824 Principal Administrative Analyst
1	1053 IS Bus Analyst – Sr.	3	1842 Management Assistant
4	1054 IS Business Analyst -Principal	1	1844 Senior Management Assistant
1	1070 IS Manager	1	2978 Contract Compliance Officer II
1	1222 Senior Payroll & Pers Clerk		

FINANCIAL MANAGEMENT &
 ADMINISTRATION

Character Level Summary

OBJECT TITLE	PHASE D	DDO adjustment	DDE adjustment	Adjusted OFFMA
Character 001 Salaries	\$6,025,379	(\$378,605)	(\$1,681,081)	\$3,965,693
Character 013 Mandatory Fringe Benefits	<u>1,528,050</u>	<u>(96,015)</u>	<u>(426,326)</u>	<u>\$1,005,709</u>
LABOR SUBTOTAL	\$7,553,429	(\$474,620)	(\$2,107,407)	\$4,971,402
Character 021 Non Personal Services	1,497,685		(6,300)	1,491,385
Character 040 Materials & Supplies	125,011		(540)	124,471
Character 060 Capital Outlay	268,200			268,200
Character 081 Services of Other Departments	<u>5,882,869</u>		<u>(4,842)</u>	<u>5,878,027</u>
NON-LABOR SUBTOTAL	\$7,773,765	\$0	(\$11,682)	\$7,762,083
FINAL BUDGET TOTAL	\$15,327,194	(\$474,620)	(\$2,119,089)	\$12,733,485

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

DEPUTY DIRECTOR ENGINEERING
 (DPW Administration Overhead Fund)

LABOR:

- 2 00101 Permanent Salaries Miscellaneous
- 1 0954 Deputy Director IV
- 1 1450 Executive Secretary I

DEPUTY DIRECTOR ENGINEERING OBJECT TITLE	Character Level Summary		
	PHASE D	OFFMA adjustment	DDE adjusted
Character 001 Salaries	\$244,347	\$1,681,081	\$1,925,428
Character 013 Mandatory Fringe Benefits	61,967	426,326	488,293
LABOR SUBTOTAL	\$306,314	\$2,107,407	\$2,413,721
Character 021 Non Personal Services	10,150	6,300	16,450
Character 040 Materials & Supplies	1,600	540	2,140
Character 060 Capital Outlay	0	0	0
Character 081 Services of Other Departments	4,744	4,842	9,586
NON-LABOR SUBTOTAL	\$16,494	\$11,682	\$28,176
FINAL BUDGET TOTAL	\$322,808	\$2,119,089	\$2,441,897

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN
DETAILED BUDGET

FISCAL YEAR 2008-2009
APPENDIX A

DEPUTY DIRECTOR for OPERATIONS
(DPW Administration Overhead Fund)

LABOR:

- 12 00101 Permanent Salaries Miscellaneous
 - 1 0932 Manager IV
 - 1 0954 Deputy Director, IV
 - 1 1312 Public Info. Officer
 - 1 1452 Executive Secretary II
 - 1 1704 Communication Dispatcher I
 - 1 1705 Communication Dispatcher II
 - 1 1934 Storekeeper
 - 2 1936 Senior Storekeeper
 - 1 1938 Stores & Equipment Assistant Sup.
 - 2 7210 Mobile Equipment Spvr.

DEPUTY DIRECTOR for OPERATIONS OBJECT TITLE	Character Level Summary		
	PHASE D	OFFMA adjustment	DDO adjusted
Character 001 Salaries	\$960,675	\$378,605	\$1,339,280
Character 013 Mandatory Fringe Benefits	243,629	96,015	\$339,657
LABOR SUBTOTAL	\$1,204,304	\$474,620	\$1,678,924
Character 021 Non Personal Services	8,200		8,200
Character 040 Materials & Supplies	78,922		78,922
Character 060 Capital Outlay	0		0
Character 081 Services of Other Departments	362,433		362,433
NON-LABOR SUBTOTAL	\$449,555	\$0	\$449,555
FINAL BUDGET TOTAL	\$1,653,859	\$474,620	\$2,128,479

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

BUREAU of ARCHITECTURE
 (DPW Bureau Overhead Fund)

LABOR:

- 11 00101 Permanent Salaries Miscellaneous
 - 1 0933 Manager V
 - 1 0942 Manager VII
 - 1 1023 IS Administrator III
 - 1 1043 IS Engineer – Senior
 - 2 1404 Clerk
 - 1 1406 Senior Clerk
 - 1 1452 Executive Secretary II
 - 1 1822 Administrative Analyst
 - 1 5266 Architectural Associate II
 - 1 5268 Architect

BUREAU of ARCHITECTURE OBJECT TITLE	Character Level Summary	
	PHASE D	AS PER BUREAU (1)
Character 001 Salaries	\$1,248,527	\$1,248,527
Character 013 Mandatory Fringe Benefits	273,690	273,690
LABOR SUBTOTAL	<u>\$1,522,217</u>	<u>\$1,522,217</u>
Character 021 Non Personal Services	213,020	213,020
Character 040 Materials & Supplies	91,000	91,000
Character 060 Capital Outlay	269,000	269,000
Character 081 Services of Other Departments	<u>1,450,991</u>	<u>1,450,991</u>
NON-LABOR SUBTOTAL	<u>\$2,024,011</u>	<u>\$2,024,011</u>
FINAL BUDGET TOTAL	\$3,546,228	\$3,546,228

(1) – As per Tribureau Indirect Costs and Direct Labor Projection Sheet.

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN
DETAILED BUDGET

FISCAL YEAR 2008-2009
APPENDIX A

BUREAU of BUILDING REPAIR
(DPW Bureau Overhead Fund)

LABOR:

- 25 00101 Permanent Salaries Miscellaneous
 - 1 0922 Manager I
 - 1 0932 Manager IV
 - 1 0941 Manager VI
 - 1 1408 Principal Clerk
 - 1 1630 Account Clerk
 - 1 1632 Senior Account Clerk
 - 2 2718 Custodial Supervisor I
 - 1 7120 Bldg. & Grounds Maint. Supt.
 - 1 7213 Plumber Supervisor I
 - 2 7226 Carpenter Supervisor I
 - 1 7233 Glazier Supervisor I
 - 1 7236 Locksmith Supervisor I
 - 1 7238 Electrician Supervisor I
 - 1 7239 Plumber Supervisor II
 - 1 7247 Sheet Metal Worker Supvr II
 - 1 7262 Maintenance Planner
 - 1 7263 Maintenance Manager
 - 1 7272 Carpenter Supervisor II
 - 1 7276 Electrician Supervisor II
 - 1 7278 Painter Supervisor II
 - 1 7348 Steamfitter
 - 1 7349 Steamfitter Asst Supervisor
 - 1 9345 Sheet Metal Supervisor I

BUREAU of BUILDING REPAIR

Character Level
Summary

OBJECT TITLE	PHASE D:
Character 001 Salaries	\$2,663,387
Character 013 Mandatory Fringe Benefits	629,277
LABOR SUBTOTAL	\$3,292,664
Character 021 Non Personal Services	94,605
Character 040 Materials & Supplies	124,378
Character 060 Capital Outlay	200,430
Character 081 Services of Other Departments	1,197,488
NON-LABOR SUBTOTAL	\$1,616,901
FINAL BUDGET TOTAL	\$4,909,565

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of ENGINEERING
 (DPW Bureau Overhead Fund)

LABOR:

- 26 00101 Permanent Salaries Miscellaneous
- 2 0942 Manager VIII
- 1 1021 IS Administrator I
- 1 1054 IS Business Analyst – Prin.
- 2 1426 Sr. Clerk Typist
- 1 1446 Secretary II
- 1 1450 Secretary II
- 2 1822 Administrative Analyst
- 2 1823 Sr. Administrative Analyst
- 1 1842 Management Assistant
- 1 1924 Material and Supplies Sup.
- 9 5211 Senior Engineer
- 1 5212 Principal Civil Engr
- 1 5366 Engrg Assoc. II
- 1 6335 Disability Access Coordinator

BUREAU of ENGINEERING OBJECT TITLE	Character Level Summary	
	PHASE D	AS PER BUREAU (1)
Character 001 Salaries	\$3,346,796	\$3,322,631
Character 013 Mandatory Fringe Benefits	<u>693,575</u>	<u>\$717,806</u>
LABOR SUBTOTAL	\$4,040,371	\$4,040,436
Character 021 Non Personal Services	484,500	484,500
Character 040 Materials & Supplies	145,000	145,000
Character 060 Capital Outlay	177,700	177,700
Character 081 Services of Other Departments	<u>1,974,762</u>	<u>1,974,762</u>
NON-LABOR SUBTOTAL	\$2,781,962	\$2,781,962
FINAL BUDGET TOTAL	\$6,822,333	\$6,822,398

(1) – As per Tribureau Indirect Costs and Direct Labor Projection Sheet.

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of STREET ENVIRONMENTAL SERVICES
 (DPW Bureau Overhead Fund)

LABOR:

- 3 00101 Permanent Salaries Miscellaneous
- 1 0941 Manger VI
- 1 1408 Senior Clerk
- 1 1634 Pr. Account Clerk

BUREAU of STREET ENVIRONMENTAL SERVICES	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$299,831
Character 013 Mandatory Fringe Benefits	76,720
LABOR SUBTOTAL	<u>\$376,551</u>
Character 021 Non Personal Services	141,737
Character 040 Materials & Supplies	12,394
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	5,652,742
NON-LABOR SUBTOTAL	<u>\$5,806,873</u>
FINAL BUDGET TOTAL	\$6,183,424

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

BUREAU of STREET & SEWER REPAIR
 (DPW Bureau Overhead Fund)

LABOR:

- 7 00101 Permanent Salaries Miscellaneous
- 1 0932 Manager IV
- 1 0941 Manager VI
- 1 1408 Principal Clerk
- 1 1446 Secretary II
- 2 1632 Sr. Account Clerk
- 1 1822 Administrative Analyst

BUREAU of STREET & SEWER REPAIR	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$609,887
Character 013 Mandatory Fringe Benefits	<u>182,389</u>
LABOR SUBTOTAL	\$792,276
Character 021 Non Personal Services	61,466
Character 040 Materials & Supplies	49,501
Character 060 Capital Outlay	225,214
Character 081 Services of Other Departments	<u>2,051,190</u>
NON-LABOR SUBTOTAL	\$2,387,371
FINAL BUDGET TOTAL	\$3,179,647

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of CONSTRUCTION MANAGEMENT
 (DPW Bureau Overhead Fund)

LABOR:

- 22 00101 Permanent Salaries Miscellaneous
 - 1 0931 Manager III
 - 1 0933 Manager V
 - 1 0942 Manager VII
 - 1 1013 IS Technician-Senior
 - 1 1023 IS Administrator III
 - 1 1042 IS Engineer
 - 1 1043 IS Engineer-Senior
 - 1 1314 Public Relations Officer
 - 2 1402 Junior Clerk
 - 1 1404 Clerk
 - 1 1408 Principal Clerk
 - 1 1424 Clerk Typist
 - 2 1446 Secretary II
 - 1 1450 Executive Secretary I
 - 2 1823 Sr. Administrative Analyst
 - 1 1842 Management Assistant
 - 1 1844 Senior Management Asst.
 - 2 5212 Principal Engineer

BUREAU of CONSTRUCTION MANAGEMENT OBJECT TITLE	Character Level Summary	
	PHASE D	AS PER BUREAU (1)
Character 001 Salaries	\$2,322,928	\$2,213,002
Character 013 Mandatory Fringe Benefits	544,037	518,292
LABOR SUBTOTAL	\$2,866,965	\$2,731,294
Character 021 Non Personal Services	413,785	413,785
Character 040 Materials & Supplies	210,000	210,000
Character 060 Capital Outlay	319,500	319,500
Character 081 Services of Other Departments	1,899,174	1,899,174
NON-LABOR SUBTOTAL	\$2,842,459	\$2,842,459
FINAL BUDGET TOTAL	\$5,709,424	\$5,573,753

(1) – As per Tribureau Indirect Costs and Direct Labor Projection Sheet.

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

BUREAU of STREET-USE MANAGEMENT
 (DPW Bureau Overhead Fund)

LABOR:

- 8 00101 Permanent Salaries Miscellaneous
- 1 0933 Manager V
- 1 0942 Manager VII
- 1 1043 IS Engineer – Sr.
- 1 1053 IS Business Analyst – Sr.
- 1 1070 IS Project Director
- 2 1822 Administrative Analyst
- 1 1827 Administrative Services Manager

BUREAU of STREET-USE MANAGEMENT	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$931,931
Character 013 Mandatory Fringe Benefits	211,491
LABOR SUBTOTAL	\$1,143,422
Character 021 Non Personal Services	54,265
Character 040 Materials & Supplies	105,000
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	938,474
NON-LABOR SUBTOTAL	\$1,097,739
FINAL BUDGET TOTAL	\$2,241,161

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

BUREAU of URBAN FORESTRY
 (DPW Bureau Overhead Fund)

LABOR:

- 5 00101 Permanent Salaries Miscellaneous
- 1 0932 Manager IV
- 1 0941 Manager VI
- 1 1632 Sr. Account Clerk
- 1 1822 Administrative Analyst
- 1 7211 Cement Finisher Supervisor II

<u>BUREAU of URBAN FORESTRY</u>	<u>Character Level</u>
<u>OBJECT TITLE</u>	<u>Summary</u>
	<u>PHASE D:</u>
Character 001 Salaries	\$534,218
Character 013 Mandatory Fringe Benefits	140,401
LABOR SUBTOTAL	<u>\$674,619</u>
Character 021 Non Personal Services	61,033
Character 040 Materials & Supplies	121,500
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	<u>1,730,557</u>
NON-LABOR SUBTOTAL	<u>\$1,913,090</u>
FINAL BUDGET TOTAL	\$2,587,709

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

APPENDIX B

BUREAU/OFFICE LEGEND

BBR	Bureau of Building Repair
BCM	Bureau of Construction Management
BOA	Bureau of Architecture
BOE	Bureau of Engineering
BSM	Bureau of Street-Use and Mapping
BUF	Bureau of Urban Forestry
CLMS	Claims
CSD	Computer Services Division
DDE	Deputy Director Engineering
DDO	Deputy Director Operations
DIR	Director's Office
FMA	Office of Financial Management and Administration
GEN	General Administration
LHH	Laguna Honda Hospital
SES	Bureau of Street Environmental Services
SSR	Bureau of Street & Sewer Repair

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

APPENDIX C

COUNTY WIDE COST ALLOCATION PLAN (COWCAP)

The following chart is an extract from the County Wide Cost Allocation Plan dated September 2007 for the year ending June 30, 2008, as prepared by the City Controller, and submitted to the State Controller for approval. These figures are the basis for all COWCAP calculations in this document.

**CITY AND COUNTY OF SAN FRANCISCO - COST DETERMINATION MODEL
STEPDOWN ALLOCATION REPORT
FOR THE PERIOD ENDED JUNE 30, 2008**

CENTRAL SVC. DEPARTMENTS	PW- ADMIN.	PW- ARCHITEC- TURE	PW- CNST MGMT	PW- ENGINEER	PW- STREET ENV	PW- ST & SEWER	PW- ST USE & MAP	PW- URBAN FOREST
BUILDING DEPRECIATION	1,945,225	0	0	0	0	0	0	0
EQUIPMENT DEPRECIATION	3,613,253	0	0	0	0	0	0	0
BOARD of SUPERVISORS	33,265	1,153	1,621	1,709	11,164	3,770	5,114	3,456
CON-GEN CITY RESPONSIBILITY	593	329	464	486	361	472	907	382
HSS-GENERAL FUND COSTS	71,524	241,685	333,232	358,865	263,656	344,218	670,126	278,304
ADMINISTRATIVE SERVICES	0	0	0	0	0	0	0	0
ADMN SVS-RISK MANAGEMENT	0	0	0	0	0	0	0	0
CITY ATTORNEY	-19,396	-3,878	-182,873	-100,316	-89,915	-875,674	0	-1,366
CIVIL SERVICE COMMISSION	4,421	2,450	3,462	3,622	2,690	3,515	6,764	2,850
CONTROLLER- ADMINISTRATION	181,240	42,840	38,427	76,137	5,980	6,658	13,313	6,005
CON-ACCTNG OPS & SYSTEMS D	158,696	243,603	241,601	434,054	63,478	57,073	68,922	55,056
CON-AUDITS	122,810	0	0	0	0	0	0	0
CON-PAYROLL/PERS SVCS DIV	35,504	19,677	27,804	29,087	21,602	28,232	54,325	22,885
HUMAN RESOURCES	17,243	23,569	33,304	34,842	25,875	33,817	65,072	27,412
HR-WORKERS' COMP	133	0	46	0	2,991	1,094	162	893
MAYOR'S BUDGET OFFICE	42	-53	-79	-76	4,963	997	833	1,011
OFC CONTACT ADMIN- PROCUR	-90,126	6,708	11,087	23,386	23,013	40,204	7,454	29,070
PUBLIC WORKS-BLDG REPAIR	178,456	15	0	0	0	0	0	0
TOTAL ALLOCATED	6,252,883	578,098	508,096	861,796	335,858	-355,624	892,992	425,958
LESS: FIXED COSTS (& ADJ)	3,292,914	763,071	1,159,439	1,314,230	2,212,596	2,053,510	426,888	315,892
CARRY-FORWARD	2,959,969	-184,973	-651,343	-452,434	-1,876,738	-2,409,134	466,104	110,066
PROPOSED COSTS	\$9,212,852	\$393,125	\$-143,247	\$409,362	\$-1,540,880	\$-2,764,758	\$1,359,096	\$536,024

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX E

DEPARTMENT of PUBLIC WORKS
PAID TIME OFF (INCLUDING MFB) FIXED
FISCAL YEAR 2008-2009

A. CARRY-FORWARD FACTOR FOR 2008-2009	
(1) Total Department PTO Expense 2006-2007 (from Line 27, Total Column, Expenditure Detail worksheet)	19,267,571
(2) Total Department PTO Recovery 2006-2007 (from Line 29, Total Column, Expenditure Detail worksheet)	19,326,575
(3) Carry-forward Factor: (1) - (2) above	(59,004)
B.. PTO DOLLARS FOR 2008-2009:	
(4) 2008-09 Estimated Department Direct Labor (See Table I)	\$66,994,205
(5) PTO Rate*	19.18%
(6) PTO Dollars for Direct Labor: (See Table I)	\$12,848,204
C. ADJUSTED PTO FOR 2008-2009: (3) PLUS (6)	<u>\$12,789,200</u>
D. PTO RATE: C / (4)	19.09%
E. MFB FOR PTO's: Department Average Rate (25.67%*) x D	4.90%
F. FIXED WITH CARRYFORWARD PTO RATE (Including MFB) Rate: D plus E	<u>23.99%</u>

*Estimated Rate:

Vacation	13
Sick Pay	13
Holiday	11
Floating	05
Total PTO days	42

$$42/219 = 19.18\%$$

Work Days	261
PTO Days	<u>42</u>
Total Base	219

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX F

DEPARTMENT of PUBLIC WORKS
BUREAU INDIRECT LABOR (PLUS PTO & MFB) FIXED
WITH CARRY-FORWARD ADJUSTMENT
FISCAL YEAR 2008-2009

BUREAU	(1) ACTUAL 2006-2007	(2) RECOVERED 2006-2007	(3) CARRY- FORWARD ADJ. 2006-2007	(4) ADJ. RECOVERY 2006-2007 COLS (2)+(3)	(5) CARRY- FORWARD ADJ. 2008-2009 COLS (1)-(4)	(6) BUDGET 2008-2009 (APP. A)	(7) ADJ. BUDGET 2008-2009 COLS (5)+(6)
BOA	\$1,613,845	\$2,036,923	(\$404,301)	\$1,632,622	(\$18,777)	\$1,522,217	\$1,503,440
BBR	\$3,342,716	\$3,080,683	\$283,663	\$3,364,346	(\$21,630)	\$3,292,664	\$3,271,034
BOE	\$2,584,317	\$2,856,421	\$225,465	\$3,081,886	(\$497,569)	\$4,040,437	\$3,542,868
SES	\$355,518	\$383,979	\$44,113	\$428,092	(\$72,574)	\$376,551	\$303,977
SSR	\$568,726	\$668,169	(\$2,952)	\$665,217	(\$96,491)	\$792,276	\$695,785
BCM	\$1,909,036	\$2,432,338	\$301,669	\$2,734,007	(\$824,971)	\$2,731,294	\$1,906,323
BSM	\$677,001	\$946,490	\$29,335	\$975,825	(\$298,824)	\$1,143,422	\$844,598
BUF	\$596,570	\$553,860	\$6,638	\$560,498	\$36,072	\$674,619	\$710,691
	\$11,647,729	\$12,958,862	\$483,630	\$13,442,492	(\$1,794,763)	\$14,573,481	\$12,778,717

Column Explanations:

Col. (1) – Expenditure Detail Worksheet 2006-2007; Line 4

Col. (2) – Recovery Detail Worksheet 2006-2007; Line 3

Col. (3) – 2006-2007 Indirect Cost Plan, Col (5), App. F., Reverse Sign.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX G

DEPARTMENT of PUBLIC WORKS
BUREAU INDIRECT NON-LABOR
WITH CARRY-FORWARD ADJUSTMENT
FISCAL YEAR 2008-2009

BUREAU	(1) ACTUAL 2006-2007	(2) RECOVERED 2006-2007	(3) CARRY- FORWARD ADJ. 2006-2007	(4) ADJ. RECOVERY 2006-2007 COLS (2)+(3)	(5) CARRY- FORWARD ADJ. 2008-2009 COLS (1)-(4)	(6) BUDGET 2008-2009 (APP. A)	(7) ADJ. BUDGET 2008-2009 COLS (5)+(6)
BOA	\$1,392,262	\$1,398,646	\$404,302	\$1,802,948	(\$410,686)	\$2,024,011	\$1,613,325
BBR	\$1,732,482	\$2,312,234	(\$369,871)	\$1,942,363	(\$209,881)	\$1,616,901	\$1,407,020
BOE	\$2,583,424	\$2,575,375	\$256,232	\$2,831,607	(\$248,183)	\$2,781,962	\$2,533,779
SES	\$5,163,442	\$5,207,613	(\$96,578)	\$5,111,035	\$52,407	\$5,806,873	\$5,859,280
SSR	\$2,676,834	\$3,514,652	(\$534,101)	\$2,980,551	(\$303,717)	\$2,387,371	\$2,083,654
BCM	\$3,640,040	\$3,546,852	\$180,430	\$3,727,282	(\$87,242)	\$2,842,459	\$2,755,217
BSM	\$1,065,958	\$921,387	\$109,407	\$1,030,794	\$35,164	\$1,097,739	\$1,132,903
BUF	\$1,249,449	\$1,180,329	\$5,007	\$1,185,336	\$64,113	\$1,913,090	\$1,977,203
	\$19,503,891	\$20,657,089	\$(45,172)	\$20,611,917	\$(1,108,026)	\$20,470,406	\$19,362,380

Column Explanations:

- Col. (1) - Expenditure Detail Worksheet 2006-2007; Line 13 plus Line 60
- Col. (2) - Recovery Detail Worksheet 2006-2007; Line 4
- Col. (3) - 2006-2007 Indirect Cost Plan, Appendix G, Col (5). Reverse Sign

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX H

DEPARTMENT of PUBLIC WORKS
DPW ADMINISTRATION FIXED WITH CARRY-FORWARD ADJUSTMENTS
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
GENERAL ADM.	ACTUAL 2006-2007	RECOVERED 2006-2007	CARRY- FORWARD 2006-2007	ADJUSTED RECOVERY 2006-2007 COLS (2)+(3)	CARRY- FORWARD ADJ. 2008-2009 COLS (1)-(4)	CARRY- FORWARD adjustment (½ of subsidy abate)	BUDGET 2008-2009 (APPX. A)	ADJUSTED BUDGET 2008-2009 COLS (5)+(6)
DIRECTOR	-	-	-	-	-		\$8,444,514	\$8,056,041
FMA	-	-	-	-	-		\$12,733,486	\$12,147,708
DDE	-	-	-	-	-		\$2,441,896	\$2,329,562
DDO	-	-	-	-	-		\$2,128,479	\$2,030,563
TOTAL	\$20,536,039	\$20,735,471	\$112,175	\$20,847,646	(\$311,607)	(\$872,896)	\$25,748,376	\$24,563,873

Column Explanations:

Col. (1) - Expenditure Detail Worksheet 2006-2007, Line 14

Col. (2) - Recovery Detail Worksheet 2006-2007, Line 5

Col. (3) - 2006-2007 Indirect Cost Plan, Appendix H, Col (5). Reverse Sign

Col. (6) - In fiscal year 2005-2006, DPW was credited \$1,745,792 for previous years inaccurate Health Subsidy charges. Fifty percent of this credit was carryforwarded in fy 2007-2008. The remainder is included in the carryforward in FY 2008-2009.

ICP09DEPT-FINAL.XLS

SPECIAL TERMS AND CONDITIONS

Table of Contents

<u>Number</u>	<u>Subject</u>	<u>Page</u>
1.	RESOLUTION OF CONFLICTING CONDITIONS.....	2
2.	AWARD AGREEMENT TERMS AND CONDITIONS.....	2
3.	ELECTRONIC AUTHORIZATION OF AWARD DOCUMENTS.....	2
4.	PAYMENT PROCEDURES - ADVANCES THROUGH THE AUTOMATED STANDARD APPLICATION FOR PAYMENTS (ASAP) SYSTEM.....	2
5.	CEILING ON ADMINISTRATIVE COSTS	3
6.	LIMITATIONS ON USE OF FUNDS	3
7.	REIMBURSABLE INDIRECT COSTS AND FRINGE BENEFITS COSTS	3
11.	USE OF PROGRAM INCOME	4
12.	STATEMENT OF FEDERAL STEWARDSHIP	4
13.	SITE VISITS	4
14.	REPORTING REQUIREMENTS.....	4
15.	PUBLICATIONS.....	5
16.	FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS	5
17.	LOBBYING RESTRICTIONS	5
18.	STAGED DISBURSEMENT	5
19.	NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS	6
20.	DECONTAMINATION AND/OR DECOMMISSIONING (D&D) COSTS.....	7
21.	SUBCONTRACT/SUBGRANT APPROVALS.....	7
22.	SPECIAL PROVISIONS RELATING TO WORK FUNDED UNDER AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (May 2009).....	8
23.	REPORTING AND REGISTRATION REQUIREMENTS UNDER SECTION 1512 OF THE RECOVERY ACT	13
24.	NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS	13
25.	REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009	13
26.	REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS) – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009	16
27.	WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE RECOVERY ACT.....	20
28.	RECOVERY ACT TRANSACTIONS LISTED IN SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS AND RECIPIENT RESPONSIBILITIES FOR INFORMING SUBRECIPIENTS	21
29.	DAVIS BACON ACT REQUIREMENTS.....	21

1. RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award must be referred to the DOE Award Administrator for guidance.

2. AWARD AGREEMENT TERMS AND CONDITIONS

This award/agreement consists of the Agreement Cover Page, plus the following:

- a. Special Terms and Conditions.
- b. Attachments:

Attachment Number	Title
1.	Statement of Project Objectives
2.	Federal Assistance Reporting Checklist and Instructions
3.	Budget Pages (SF 424A)
- c. Program regulations, if applicable.
- d. DOE Assistance Regulations, 10 CFR Part 600 at <http://ecfr.gpoaccess.gov>.
- e. Application/proposal as approved by DOE.
- f. National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at http://management.energy.gov/business_doe/1374.htm.

3. ELECTRONIC AUTHORIZATION OF AWARD DOCUMENTS

Acknowledgement of award documents by the Recipient's authorized representative through electronic systems used by the Department of Energy, specifically FedConnect, constitutes the Recipient's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the Recipient's authorized representative constitutes the Recipient's electronic signature.

4. PAYMENT PROCEDURES - ADVANCES THROUGH THE AUTOMATED STANDARD APPLICATION FOR PAYMENTS (ASAP) SYSTEM

- a. Method of Payment. Payment will be made by advances through the Department of Treasury's ASAP system.
- b. Requesting Advances. Requests for advances must be made through the ASAP system. You may submit requests as frequently as required to meet your needs to disburse funds for the Federal share of project costs. If feasible, you should time each request so that you receive payment on the same day that you disperse funds for direct project costs and the proportionate share of any allowable indirect costs. If same-day transfers are not feasible, advance payments must be as close to actual disbursements as administratively feasible.
- c. Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income,

rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.

- d. Payments. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed with the U.S. Department of Treasury.

5. CEILING ON ADMINISTRATIVE COSTS

- a. Local government and Indian Tribe Recipients may not use more than 10 percent of amounts provided under this program, or \$75,000, whichever is greater (EISA Sec 545 (b)(3)(A), for administrative expenses, excluding the costs of meeting the reporting requirements under Title V, Subtitle E of EISA. These costs should be captured and summarized for each activity under the Projected Costs Within Budget: Administration.
- b. Recipients are expected to manage their administrative costs. DOE will not amend an award solely to provide additional funds for changes in administrative costs. The Recipient shall not be reimbursed on this project for any final administrative costs that are in excess of the designated 10 percent administrative cost ceiling. In addition, the Recipient shall neither count costs in excess of the administrative cost ceiling as cost share, nor allocate such costs to other federally sponsored project, unless approved by the Contracting Officer.

6. LIMITATIONS ON USE OF FUNDS

- a. By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, for gambling establishments, aquariums, zoos, golf courses or swimming pools.
- b. Local government and Indian tribe Recipients may not use more than 20 percent of the amounts provided or \$250,000, whichever is greater (EISA Sec 545 (b)(3)(B)), for the establishment of revolving loan funds.
- c. Local government and Indian tribe Recipients may not use more than 20 percent of the amounts provided or \$250,000, whichever is greater (EISA Sec 545 (b)(3)(C)), for subgrants to nongovernmental organizations for the purpose of assisting in the implementation of the energy efficiency and conservation strategy of the eligible unit of local government or Indian tribe.

7. REIMBURSABLE INDIRECT COSTS AND FRINGE BENEFITS COSTS

- a. The Recipient is expected to manage their final negotiated project budgets, including their indirect costs and fringe benefit costs. DOE will not amend an award solely to provide additional funds for changes in the indirect and/or fringe benefit costs or for changes in rates used for calculating these costs. DOE recognizes that the inability to obtain full reimbursement for indirect or fringe benefit costs means the Recipient must

absorb the underrecovery. Such underrecovery may be allocated as part of the Recipient's cost share.

- b. If actual allowable indirect and fringe benefit costs are less than those budgeted and funded under the award, the Recipient may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, the Recipient must refund the difference.

11. USE OF PROGRAM INCOME

If you earn program income during the project period as a result of this award, you may add the program income to the funds committed to the award and used to further eligible project objectives.

12. STATEMENT OF FEDERAL STEWARDSHIP

DOE will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

13. SITE VISITS

DOE's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. You must provide, and must require your subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

14. REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

- b. Additional Recovery Act Reporting Requirements are found in the Provision below labeled: "REPORTING AND REGISTRATION REQUIREMENTS UNDER SECTION 1512 OF THE RECOVERY ACT."

15. PUBLICATIONS

- a. You are encouraged to publish or otherwise make publicly available the results of the work conducted under the award.
- b. An acknowledgment of DOE support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

Acknowledgment: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."

Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

16. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

You must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

17. LOBBYING RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

18. STAGED DISBURSEMENT

- a. The total funding allocation for this award, shown in Block 12 of the Agreement Cover Page, will be obligated in full with this action; however, funds will be released according to a

staged disbursement schedule. All funds must be expended within 36 months of the effective date of the award.

1. The initial disbursement of funds will include 50% of the total funding allocation, identified on Page 2 of the Agreement Cover Page, which will be released to the Recipient to begin work on the approved activities listed in the Statement of Project Objectives. If conditions are included in the terms and conditions of this award, upon satisfying the conditions, the Contracting Officer will lift the funding restrictions associated with the conditions and release the remainder of the initial disbursement of funds.

2. Project performance will be monitored and corrective action taken, as necessary to ensure acceptable performance under this award. After one or more progress reviews, in which the Recipient must demonstrate that it has made satisfactory progress on its activities; expended funds appropriately; complied with reporting requirements; and created jobs, the Contracting Officer will approve the release of the remaining balance of the total funding allocation.

b. No additional funds will be disbursed to the Recipient for payment, and DOE does not guarantee or assume any obligation to reimburse costs incurred by the Recipient, until the requirements of each progress review are met. Failure by the Recipient to demonstrate acceptable performance under this award will be deemed a noncompliance pursuant to 10 CFR 600. If a noncompliance occurs, the Contracting Officer may unilaterally terminate or suspend this award and deobligate the amounts obligated. In such case, the Recipient shall not be reimbursed for costs incurred at the Recipient's risk, as described above.

19. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

You are restricted from taking any action using Federal funds, which would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to DOE providing either a NEPA clearance or a final NEPA decision regarding this project.

Prohibited actions include:

1. (Activity 1.) Residential Sector - Heating Systems; Financial Incentive Activity Heating Systems
2. (Activity 3.) Residential Sector -- Tax Lien Financing Technical Assistance; Financial Incentive Activity
3. (Activity 4.) Municipal Sector -- Municipal Building Retrofit; Energy Efficient Retrofit Activity, including any retrofits, energy efficiency, or renewable energy upgrades or improvements to these buildings until such time that you provide the required response as described below.

This restriction does not preclude you from activities related to:

1. (Activity 2.) Residential Sector --Community Resilience; Financial Incentive Activity; and,
2. Conducting assessments, preliminary design and engineering, architectural, planning, and administrative activities under Activities 1, 3 and 4 above.

Prior to the expenditure of Federal funds to implement these activities, the Recipient is required to provide documentation to the Project Officer demonstrating that it has prepared a disposal plan for sanitary or hazardous waste generated by the proposed activities. Sanitary or hazardous waste includes, but is not limited to, old light bulbs, lead ballasts, piping, roofing material, discarded equipment, debris, asbestos, etc.

The DOE Contracting Officer shall consider compliance with this clause complete only after the Recipient has submitted adequate documentation to DOE for its review, and DOE has provided written approval of the Recipient's proposed plan to dispose of its sanitary or hazardous waste. If you move forward with activities that are not authorized for Federal funding by the DOE Contracting Officer in advance of the final NEPA decision, you are doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share.

If this award includes construction activities, you must submit an environmental evaluation report/evaluation notification form addressing NEPA issues prior to DOE initiating the NEPA process.

20. DECONTAMINATION AND/OR DECOMMISSIONING (D&D) COSTS

Notwithstanding any other provisions of this Agreement, the Government shall not be responsible for or have any obligation to the Recipient for (i) Decontamination and/or Decommissioning (D&D) of any of the Recipient's facilities, or (ii) any costs which may be incurred by the Recipient in connection with the D&D of any of its facilities due to the performance of the work under this Agreement, whether said work was performed prior to or subsequent to the effective date of the Agreement.

21. SUBCONTRACT/SUBGRANT APPROVALS

- a. In the original application, the subcontractor(s)/subgrantee(s) were not proposed by the recipient. In order to receive reimbursement for the costs associated with subcontractors/activities listed in the approved Statement of Project Objectives (SOPO), each subcontract/subgrant must be approved by the DOE Contracting Officer.
- b. Upon the recipient's selection of the subcontractor(s)/subgrantee(s), and within 180 days of the award date in Block 27 of the Assistance Agreement Cover Page, the recipient shall provide the following information for each, regardless of dollar amount:
 - Name
 - DUNS Number
 - Award Amount
 - Statement of work including applicable activities
 - EF-1 for all proposed activities
- c. In addition to the information in paragraph b. above, for each subcontract/subgrant that has an estimated cost greater than 25% of the Total Allocation or \$1,000,000, whichever is less, the recipient must submit a Statement of Objectives, SF424A Budget Information

– Nonconstruction Programs, and PMC 123.1 Cost Reasonableness Determination for Financial Assistance. The DOE Contracting Officer may require additional information concerning these subcontract(s)/subgrant(s) prior to providing written approval.

- d. No funds shall be expended on the subcontracts supporting the activities listed in the approved SOPO until DOE approval is provided. DOE does not guarantee or assume any obligation to reimburse costs incurred by the Recipient or subcontractor for these activities, until approval is provided in writing by the Contracting Officer.
- e. Upon written approval by the Contracting Officer, the Recipient may then receive payment for the activities listed in the approved SOPO for allowable costs incurred in accordance with the payment provisions contained in the Special Terms and Conditions of this agreement.

22. SPECIAL PROVISIONS RELATING TO WORK FUNDED UNDER AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (May 2009)

Preamble

The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act) was enacted to preserve and create jobs and promote economic recovery, assist those most impacted by the recession, provide investments needed to increase economic efficiency by spurring technological advances in science and health, invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits, stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. Recipients shall use grant funds in a manner that maximizes job creation and economic benefit.

The Recipient shall comply with all terms and conditions in the Recovery Act relating generally to governance, accountability, transparency, data collection and resources as specified in Act itself and as discussed below.

Recipients should begin planning activities for their first tier subrecipients, including obtaining a DUNS number (or updating the existing DUNS record), and registering with the Central Contractor Registration (CCR).

Be advised that Recovery Act funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related guidance. For projects funded by sources other than the Recovery Act, Contractors must keep separate records for Recovery Act funds and to ensure those records comply with the requirements of the Act.

The Government has not fully developed the implementing instructions of the Recovery Act, particularly concerning specific procedural requirements for the new reporting requirements. The Recipient will be provided these details as they become available. The Recipient must comply with all requirements of the Act. If the recipient believes there is any inconsistency

between ARRA requirements and current award terms and conditions, the issues will be referred to the Contracting Officer for reconciliation.

Definitions

For purposes of this clause, Covered Funds means funds expended or obligated from appropriations under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5. Covered Funds will have special accounting codes and will be identified as Recovery Act funds in the grant, cooperative agreement or TIA and/or modification using Recovery Act funds. Covered Funds must be reimbursed by September 30, 2015.

Non-Federal employer means any employer with respect to covered funds -- the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor, subcontractor, grantee, or recipient is an employer; and any professional membership organization, certification of other professional body, any agent or licensee of the Federal government, or any person acting directly or indirectly in the interest of an employer receiving covered funds; or with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor receiving the funds and any contractor or subcontractor of the State or local government; and does not mean any department, agency, or other entity of the federal government.

Recipient means any entity that receives Recovery Act funds directly from the Federal government (including Recovery Act funds received through grant, loan, or contract) other than an individual and includes a State that receives Recovery Act Funds.

Special Provisions

A. Flow Down Requirement

Recipients must include these special terms and conditions in any subaward.

B. Segregation of Costs

Recipients must segregate the obligations and expenditures related to funding under the Recovery Act. Financial and accounting systems should be revised as necessary to segregate, track and maintain these funds apart and separate from other revenue streams. No part of the funds from the Recovery Act shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for Recovery Act projects.

C. Prohibition on Use of Funds

None of the funds provided under this agreement derived from the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

D. Access to Records

With respect to each financial assistance agreement awarded utilizing at least some of the funds appropriated or otherwise made available by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App.) or of the Comptroller General is authorized --

(1) to examine any records of the contractor or grantee, any of its subcontractors or subgrantees, or any State or local agency administering such contract that pertain to, and involve transactions that relate to, the subcontract, subgrant, grant, or subgrant; and

(2) to interview any officer or employee of the contractor, grantee, subgrantee, or agency regarding such transactions.

E. Publication

An application may contain technical data and other data, including trade secrets and/or privileged or confidential information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than the application. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

Notice of Restriction on Disclosure and Use of Data

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

Information about this agreement will be published on the Internet and linked to the website www.recovery.gov, maintained by the Accountability and Transparency Board. The Board may exclude posting contractual or other information on the website on a case-by-case basis when necessary to protect national security or to protect information that is not subject to disclosure under sections 552 and 552a of title 5, United States Code.

F. Protecting State and Local Government and Contractor Whistleblowers.

The requirements of Section 1553 of the Act are summarized below. They include, but are not limited to:

Prohibition on Reprisals: An employee of any non-Federal employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing,

including a disclosure made in the ordinary course of an employee's duties, to the Accountability and Transparency Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or other person working for the employer who has the authority to investigate, discover or terminate misconduct), a court or grant jury, the head of a Federal agency, or their representatives information that the employee believes is evidence of:

- gross management of an agency contract or grant relating to covered funds;
- a gross waste of covered funds;
- a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- an abuse of authority related to the implementation or use of covered funds; or
- as violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

Agency Action: Not later than 30 days after receiving an inspector general report of an alleged reprisal, the head of the agency shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the employee to a prohibited reprisal. The agency shall either issue an order denying relief in whole or in part or shall take one or more of the following actions:

- Order the employer to take affirmative action to abate the reprisal.
- Order the employer to reinstate the person to the position that the person held before the reprisal, together with compensation including back pay, compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.
- Order the employer to pay the employee an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the employee for or in connection with, bringing the complaint regarding the reprisal, as determined by the head of a court of competent jurisdiction.

Nonenforceability of Certain Provisions Waiving Rights and Remedies or Requiring Arbitration: Except as provided in a collective bargaining agreement, the rights and remedies provided to aggrieved employees by this section may not be waived by any agreement, policy, form, or condition of employment, including any predispute arbitration agreement. No predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising out of this section.

Requirement to Post Notice of Rights and Remedies: Any employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, shall post notice of the rights and remedies as required therein. (Refer to section 1553 of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, www.Recovery.gov, for specific requirements of this section and prescribed language for the notices.).

G. Reserved

H. False Claims Act

Recipient and sub-recipients shall promptly refer to the DOE or other appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, sub-grantee, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving those funds.

I. Information in Support of Recovery Act Reporting

Recipient may be required to submit backup documentation for expenditures of funds under the Recovery Act including such items as timecards and invoices. Recipient shall provide copies of backup documentation at the request of the Contracting Officer or designee.

J. Availability of Funds

Funds obligated to this award are available for reimbursement of costs until 36 months after the award date.

K. Additional Funding Distribution and Assurance of Appropriate Use of Funds

Certification by Governor – For funds provided to any State or agency thereof by the American Reinvestment and Recovery Act of 2009, Pub. L. 111-5, the Governor of the State shall certify that: 1) the state will request and use funds provided by the Act; and 2) the funds will be used to create jobs and promote economic growth.

Acceptance by State Legislature -- If funds provided to any State in any division of the Act are not accepted for use by the Governor, then acceptance by the State legislature, by means of the adoption of a concurrent resolution, shall be sufficient to provide funding to such State.

Distribution -- After adoption of a State legislature's concurrent resolution, funding to the State will be for distribution to local governments, councils of government, public entities, and public-private entities within the State either by formula or at the State's discretion.

L. Certifications

With respect to funds made available to State or local governments for infrastructure investments under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, the Governor, mayor, or other chief executive, as appropriate, certified by acceptance of this award that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Recipient shall provide an additional certification that includes a description of the investment, the estimated total cost, and the amount of covered funds to be used for posting on the Internet. A State or local agency may not receive infrastructure investment funding from funds made available by the Act unless this certification is made and posted.

23. REPORTING AND REGISTRATION REQUIREMENTS UNDER SECTION 1512 OF THE RECOVERY ACT

- (a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 (Recovery Act) and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.
- (b) 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.
- (c) Recipients and their first-tier subrecipients must maintain current registrations in the Central Contractor Registration (<http://www.ccr.gov>) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (<http://www.dnb.com>) is one of the requirements for registration in the Central Contractor Registration.
- (d) The recipient shall report the information described in section 1512(c) of the Recovery Act using the reporting instructions and data elements that will be provided online at <http://www.FederalReporting.gov> and ensure that any information that is pre-filled is corrected or updated as needed.

24. NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

*Special Note: Definitization of the Provisions entitled, "REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009" and "REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS) – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009" will be done upon definition and review of final activities.

25. REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) *Definitions.* As used in this award term and condition—

(1) *Manufactured good* means a good brought to the construction site for incorporation into the building or work that has been—

- (i) Processed into a specific form and shape; or
- (ii) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

(2) *Public building and public work* means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

(3) *Steel* means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Domestic preference.* (1) This award term and condition implements Section 1605 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) (Pub. L. 111-5), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States except as provided in paragraph (b)(3) and (b)(4) of this section and condition.

(2) This requirement does not apply to the material listed by the Federal Government as follows:

To Be Determined

(3) The award official may add other iron, steel, and/or manufactured goods to the list in paragraph (b)(2) of this section and condition if the Federal Government determines that—

(i) The cost of the domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the cost of the overall project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of Section 1605 of the Recovery Act.* (1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(3) of this section shall include adequate information for Federal Government evaluation of the request, including—

- (A) A description of the foreign and domestic iron, steel, and/or manufactured goods;
 - (B) Unit of measure;
 - (C) Quantity;
 - (D) Cost;
 - (E) Time of delivery or availability;
 - (F) Location of the project;
 - (G) Name and address of the proposed supplier; and
 - (H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(3) of this section.
- (ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this section.
 - (iii) The cost of iron, steel, and/or manufactured goods material shall include all delivery costs to the construction site and any applicable duty.
 - (iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.
- (2) If the Federal Government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds by at least the differential established in 2 CFR 176.110(a).
- (3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods is noncompliant with section 1605 of the American Recovery and Reinvestment Act.

(d) *Data.* To permit evaluation of requests under paragraph (b) of this section based on unreasonable cost, the Recipient shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Items Cost Comparison

Description	Unit of measure	Quantity	Cost (dollars)*
<i>Item 1:</i>			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____
<i>Item 2:</i>			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____

List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.

Include other applicable supporting information.

*Include all delivery costs to the construction site.

26. REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS) – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) *Definitions.* As used in this award term and condition—

Designated country — (1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom);

(2) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); or

(3) A United States-European Communities Exchange of Letters (May 15, 1995) country: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom.

Designated country iron, steel, and/or manufactured goods — (1) Is wholly the growth, product, or manufacture of a designated country; or

(2) In the case of a manufactured good that consist in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different manufactured good distinct from the materials from which it was transformed.

Domestic iron, steel, and/or manufactured good — (1) Is wholly the growth, product, or manufacture of the United States; or

(2) In the case of a manufactured good that consists in whole or in part of materials from another country, has been substantially transformed in the United States into a new and different manufactured good distinct from the materials from which it was transformed. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

Foreign iron, steel, and/or manufactured good means iron, steel and/or manufactured good that is not domestic or designated country iron, steel, and/or manufactured good.

Manufactured good means a good brought to the construction site for incorporation into the building or work that has been—

(1) Processed into a specific form and shape; or

(2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

Public building and *public work* means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

Steel means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Iron, steel, and manufactured goods.* (1) The award term and condition described in this section implements—

(i) Section 1605(a) of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111–5) (Recovery Act), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States; and

(ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the Recovery Act do not apply to designated country iron, steel, and/or manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services. This obligation shall only apply to projects with an estimated value of \$7,443,000 or more.

(2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this section.

(3) The requirement in paragraph (b)(2) of this section does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows:

To Be Determined

(4) The award official may add other iron, steel, and manufactured goods to the list in paragraph (b)(3) of this section if the Federal Government determines that—

(i) The cost of domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality;
or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of section 1605 of the Recovery Act or the Buy American Act.* (1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(4) of this section shall include adequate information for Federal Government evaluation of the request, including—

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this section.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this section.

(iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal Government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other appropriate actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.

(d) *Data*. To permit evaluation of requests under paragraph (b) of this section based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Items Cost Comparison

Description	Unit of measure	Quantity	Cost (dollars)*
<i>Item 1:</i>			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____
<i>Item 2:</i>			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____

List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.

Include other applicable supporting information.

*Include all delivery costs to the construction site.

27. WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE RECOVERY ACT

(a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

28. RECOVERY ACT TRANSACTIONS LISTED IN SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS AND RECIPIENT RESPONSIBILITIES FOR INFORMING SUBRECIPIENTS

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215.21 "Uniform Administrative Requirements for Grants and Agreements" and OMB Circular A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds. OMB Circular A-102 is available at <http://www.whitehouse.gov/omb/circulars/a102/a102.html>.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. OMB Circular A-133 is available at <http://www.whitehouse.gov/omb/circulars/a133/a133.html>. This shall be accomplished by identifying expenditures for Federal awards made under the Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each subrecipient, and document at the time of subaward and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to subrecipients shall distinguish the subawards of incremental Recovery Act funds from regular subawards under the existing program.

(d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.

29. DAVIS BACON ACT REQUIREMENTS

Note: Where necessary to make the context of these articles applicable to this award, the term "Contractor" shall mean "Recipient" and the term "Subcontractor" shall mean "Subrecipient or

Subcontractor" per the following definitions.

Recipient means the organization, individual, or other entity that receives an award from DOE and is financially accountable for the use of any DOE funds or property provided for the performance of the project, and is legally responsible for carrying out the terms and conditions of the award.

Subrecipient means the legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided. The term may include foreign or international organizations (such as agencies of the United Nations).

Davis-Bacon Act

(a) Definition.--"Site of the work"--

(1) Means--

(i) The primary site of the work. The physical place or places where the construction called for in the award will remain when work on it is completed; and

(ii) The secondary site of the work, if any. Any other site where a significant portion of the building or work is constructed, provided that such site is--

(A) Located in the United States; and

(B) Established specifically for the performance of the award or project;

(2) Except as provided in paragraph (3) of this definition, includes any fabrication plants, mobile factories, batch plants, borrow pits, job headquarters, tool yards, etc., provided--

(i) They are dedicated exclusively, or nearly so, to performance of the award or project; and

(ii) They are adjacent or virtually adjacent to the "primary site of the work" as defined in paragraph (a)(1)(i), or the "secondary site of the work" as defined in paragraph (a)(1)(ii) of this definition;

(3) Does not include permanent home offices, branch plant establishments, fabrication plants, or tool yards of a Contractor or subcontractor whose locations and continuance in operation are determined wholly without regard to a particular Federal award or project. In addition, fabrication plants, batch plants, borrow pits, job headquarters, yards, etc., of a commercial or material supplier which are established by a supplier of materials for the project before opening of bids and not on the Project site, are not included in the "site of the work." Such permanent, previously established facilities are not a part of the "site of the work" even if the operations for a period of time may be dedicated exclusively or nearly so, to the performance of a award.

(b) (1) All laborers and mechanics employed or working upon the site of the work will be paid

unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR Part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, or as may be incorporated for a secondary site of the work, regardless of any contractual relationship which may be alleged to exist between the Contractor and such laborers and mechanics. Any wage determination incorporated for a secondary site of the work shall be effective from the first day on which work under the award was performed at that site and shall be incorporated without any adjustment in award price or estimated cost. Laborers employed by the construction Contractor or construction subcontractor that are transporting portions of the building or work between the secondary site of the work and the primary site of the work shall be paid in accordance with the wage determination applicable to the primary site of the work.

(2) Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (e) of this article; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such period.

(3) Such laborers and mechanics shall be paid not less than the appropriate wage rate and fringe benefits in the wage determination for the classification of work actually performed, without regard to skill, except as provided in the article entitled Apprentices and Trainees. Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein; provided, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed.

(4) The wage determination (including any additional classifications and wage rates conformed under paragraph (c) of this article) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

(c) (1) The Contracting Officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the award shall be classified in conformance with the wage determination. The Contracting Officer shall approve an additional classification and wage rate and fringe benefits therefore only when all the following criteria have been met:

(i) The work to be performed by the classification requested is not performed by a classification in the wage determination.

(ii) The classification is utilized in the area by the construction industry.

(iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(2) If the Contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives and the Contracting Officer agree on the classification and wage rate (including the amount designated for fringe benefits, where appropriate), a report of the action taken shall be sent by the Contracting Officer to the Administrator of the:

Wage and Hour Division
Employment Standards Administration
U.S. Department of Labor
Washington, DC 20210

The Administrator or an authorized representative will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(3) In the event the Contractor, the laborers or mechanics to be employed in the classification, or their representatives, and the Contracting Officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Contracting Officer shall refer the questions, including the views of all interested parties and the recommendation of the Contracting Officer, to the Administrator of the Wage and Hour Division for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(4) The wage rate (including fringe benefits, where appropriate) determined pursuant to subparagraphs (c)(2) and (c)(3) of this article shall be paid to all workers performing work in the classification under this award from the first day on which work is performed in the classification.


(d) Whenever the minimum wage rate prescribed in the award for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the Contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(e) If the Contractor does not make payments to a trustee or other third person, the Contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program; provided, that the Secretary of Labor has found, upon the written request of the Contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the Contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

Rates of Wages - Prior Approval for Proceeding with Davis-Bacon Construction Activities

If the Recipient determines at any time that any construction, alteration, or repair activity as defined by 29 CFR 5.2(j) (<http://cfr.vlex.com/vid/5-2-definitions-19681309>) will be performed during the course of the project, the Recipient shall request approval from the Contracting Officer prior to commencing such work. If the Contracting Officer concurs with the Recipient's determination, the Recipient must receive Contracting Officer approval to proceed with such activity, and must comply with all applicable Davis-Bacon requirements, prior to commencing such work. A modification to the award which incorporates the appropriate Davis-Bacon wage rate determination(s) will constitute the Contracting Officer's approval to proceed. If the Contracting Officer does not concur with the Recipient's determination, the Contracting Officer will so notify the Recipient in writing.

ASSISTANCE AGREEMENT

1. Award No. DE-EE0000879		2. Modification No.	3. Effective Date 08/17/2009	4. CFDA No. 81.128
5. Awarded To PUBLIC UTILITIES DEPT Attn: SAMUEL LARANO 1155 MARKET STREET, 4TH FLOOR SAN FRANCISCO CA 941031522		6. Sponsoring Office Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401		7. Period of Performance 08/17/2009 through 08/16/2012
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority PL 110-140, EISA 2007 PL 111-5, Recovery Act 2009		10. Purchase Request or Funding Document No. 09EE003422	
11. Remittance Address PUBLIC UTILITIES DEPT Attn: SAMUEL LARANO 1155 MARKET STREET, 4TH FLOOR SAN FRANCISCO CA 941031522		12. Total Amount Govt. Share: \$7,739,300.00 Cost Share : \$0.00 Total : \$7,739,300.00		13. Funds Obligated This action: \$7,739,300.00 Total : \$7,739,300.00
14. Principal Investigator Gregg Olson 415-554-2419		15. Program Manager Jason Randall Phone: 303-275-4847		16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393
17. Submit Payment Requests To		18. Paying Office		19. Submit Reports To See Attachment 2
20. Accounting and Appropriation Data EECBG Program				
21. Research Title and/or Description of Project RECOVERY ACT: BUILDING IMPROVEMENTS: ENERGY SAVINGS, COMMUNITY RESILIENCE PROGRAM				
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 Nancy L. Kiyota		27. Date Signed 08/17/2009

CONTINUATION SHEET	REFERENCE NO. OF DOCUMENT BEING CONTINUED	PAGE	OF
	DE-EE0000879	2	3

NAME OF OFFEROR OR CONTRACTOR
PUBLIC UTILITIES DEPT

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 038856845</p> <p>In addition to this Assistance Agreement, this award consists of the items listed in the Special Terms and Conditions, Provision 2, Award Agreement Terms and Conditions.</p> <p>In Block 7 of the Assistance Agreement, the Period of Performance reflects the beginning of the project through the end of the current Budget Period, shown as 08/17/2009 through 08/16/2012.</p> <p>Blocks 12 and 13 of the Agreement Cover Page indicate the Total Obligated Amount of this project, which is the Recipient's total allocation. The funds available in ASAP to the Recipient through this action are limited to \$3,599,788 due to the restrictions in: Provision Number 19, National Environmental Policy Act Clause and Provision Number 21, the Subcontractor Approval clause in the Special Terms and Conditions. Once these conditions have been met, the remaining funds will be released to the Recipient according to Provision Number 18, Staged Disbursement Clause of the Special Terms and Conditions.</p> <p>DOE Award Administrator: Henry Fowler E-mail: henry.fowler@go.doe.gov Phone: 303-275-4903</p> <p>DOE Project Officer: Jason Randall E-mail: jason.randall@go.doe.gov Phone: 303-275-4847</p> <p>Recipient Business Officer: Manuel Ramirez E-mail: mramirez@sflower.org Phone: 415-554-1538</p> <p>Recipient Principal Investigator: Gregg Olson E-mail: golson@sflower.org Phone: 415-554-2419</p> <p>Electronic signature or signatures as used in this document means a method of signing an electronic message that-- (A) Identifies and authenticates a particular person as the source of the electronic message; (B) Indicates such person's approval of the Continued ...</p>				

CONTINUATION SHEET	REFERENCE NO. OF DOCUMENT BEING CONTINUED	PAGE	OF
	DE-EE0000879	3	3

NAME OF OFFEROR OR CONTRACTOR
PUBLIC UTILITIES DEPT

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>information contained in the electronic message; and, (C) Submission via FedConnect constitutes electronically signed documents.</p> <p>ASAP: Yes Extent Competed: NOT AVAIL FOR COMP Delivery Location Code: 03601 Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393</p> <p>Payment: OR for Golden U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4517 Oak Ridge TN 37831</p> <p>Fund: 05796 Appr Year: 2009 Allottee: 31 Report Entity: 200835 Object Class: 41020 Program: 1005115 Project: 2004350 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0331</p>				

(

(

10

.....

.....

City & County of San Francisco, CA
Statement of Project Objectives
Recovery Act: Building Improvements: Energy Savings, Community Resilience Program

Project Objectives

The City & County of San Francisco (CCSF) is proposing two main tasks under the program – the Residential Sector Program, which includes three activities, and the Municipal Sector Program, with one activity.

These programs support the CCSF's overall greenhouse gas (GHG) emissions reduction goal of 20% below 1990 levels by 2012. Recommended actions to meet this goal are described in San Francisco's Climate Action Plan. The programs initiated under the Energy Efficiency and Conservation Block Grant (EECBG) program will support the energy efficiency actions described in the Plan under "Increase Incentives, Direct Installation and Technical Assistance."

Project Scope

The Residential Sector Program plans to increase awareness, and put in place incentives and policy initiatives to increase the long term sustainability of energy savings.

First, this project will build the contractor infrastructure and increase market acceptance of energy efficiency retrofits in the key natural gas consuming market sectors. The projects performed with EECBG incentive funds will provide an increasing source of case studies, providing the market place with enough evidence that these retrofits are successful and low risk. This will convince more multi-family building owners and homeowners to agree to pay for this service.

Second, these projects will provide the data needed to justify the changing of the rules governing the use of the existing California Public Goods Charge (CPGC) incentive funds. A successful rules change would increase the quantity of CPGC funds to be used on each project, increasing the number of retrofits performed.

Third, a tax-lien financing program will allow private building owners to borrow project funds through the City and re-pay the loan through a supplemental property tax payment stretched over a 20-year period. This will make most projects cash positive in the first year of the retrofit, a criterion that make it attractive to landlords and homeowners concerned about their cash flow. A tax-lien financing system will be in place this year (2009).

Finally, concomitant with the EECGB funded programs, CCSF will develop policy initiatives to require retrofits. For example, the City's existing Residential Energy Conservation Ordinance requires installation of some energy and water efficiency measures at time-of-sale. This ordinance could be amended to require a home performance analysis and the disclosure of the results to the buyer and the City. In the multi-family sector, CCSF may add additional heating system performance metrics to the annual boiler inspection currently performed by the Fire Department. In addition, the currently convening Commercial Building Task Force is proposing several policy options that would require retrofits. As a result, after the EECBG incentives have

expired, the City's new policies would drive homeowners and building owners to utilize the existing programs to retrofit their homes and buildings.

The benefits of the projects completed under the Municipal Sector program will continue well past the EECBG funding period. The average projected lifetime of the energy efficiency measures implemented through these projects is 18 years. In addition to the direct annual electricity and natural gas savings, these projects will also provide co-benefits such as improved lighting quality, thermal comfort and indoor air quality. The experience gained through completing energy efficiency projects using alternate implementation mechanisms can be used to improve future CCSF programs.

Tasks & Milestones

TASK #1 – Residential Sector Programs

Activity #1 – The Community Resilience Program. This program leverages an existing City program to organize neighborhoods around various issues including public safety and disaster preparedness to make San Francisco communities more resilient to disasters. This program will add a climate, energy, water, composting, and victory garden awareness and action component to increase resiliency to resource shortages, price increases, etc. The program addresses the needs of tenants and owners of small buildings: single-family and 2-4 unit buildings (San Francisco has 25% of all 2-4 unit buildings in California) typically owned by a single landlord owning a single or a small number of buildings, often living in one of the units. Local community based organizations will provide education through presentations at meetings and special events. For home owners and tenants, this program will provide comprehensive Home Resiliency assessments upon request. For home owners and 2-4 unit building owners it will provide incentives to contractors for home performance retrofits that achieve specified reduction targets. To qualify for the incentive, each project must improve their Home Energy Rating score and add other simple measures that conform to the City's goals, e.g. water conservation measures. A revolving loan fund will be used to develop an appropriate financing program.

Residential Sector Program Community Resilience Metrics:

Annual Energy savings: 190,720 therms/year

GHG emissions reduced: 1,115 tons CO₂e/year

Jobs created: 52 with contractors (home performance analyst, weatherization installer, HVAC)

Funds leveraged: \$3,242,000 from Private funds

Education program participants: 7,000

Home assessments: 1,400

Home performance retrofits: 433

Activity #2 – Heating Systems Financial Incentive Program. This program is designed to address hot water and heating systems in old multi-family buildings that still have an original low-pressure steam boiler, though other heating systems may be addressed in the program. The systems are typically maintained by a contracted service called in response to complaints, and preventive maintenance is infrequent. The heating systems typically need tuning as well as retrofits and/or replacements of the hardware. The primary barrier to heating system retrofits is the high up front cost to abate asbestos and meet other codes that have been changed since the original installation. This program will add significant incentive funds to overcome that barrier. It will also leverage the existing ratepayer funded program that currently provides technical assistance and a small amount of incentives. Under this program, City staff provides technical pre-assessments of lighting and HVAC systems and arranges for program contractors to make detailed bids that include incentives. This program will coordinate with the City's tax-lien financing program now in development. The incentives, together with the financing, will make many projects cash-flow positive in the first year.

Residential Sector Heating Systems Metrics:

Annual Energy Saved: 399,000 therms/year (3,000 therms per year per project average);

GHG emissions reduced: 2,332 tons CO₂e/year

FTE jobs created: 74 with contractors (journey and apprentice plumbers and steam fitters)

Funds leveraged: \$4,389,000 from CPGC and Private funds

Projects: 133 heating systems retrofitted

Residential Sector Program Milestones:

1. 30 days: Provide additional technical assistance and commit EECBG incentives to already identified projects (Heating Systems).
2. 45 days: Begin providing additional technical assistance and committing incentives to newly identified projects (Heating Systems).
3. 60 days: First home performance project completed (Community Resilience).
4. 90 days: First Home Resiliency Assessment completed (Community Resilience).
5. 24 months: Final project completed and incentive paid. (Heating Systems). Last home assessment and last performance retrofit incentive paid. (Community Resilience).
6. 26 months: Closeout and reporting to USDOE complete.

Activity #3 – Tax Lien/Revolving Loan Financial Incentive Program. The proposed tax lien financing program will provide an opportunity for borrowers to finance the portion of their energy efficiency, renewable energy, or water conservation retrofit project that is not otherwise covered by rebates, incentives, or tax credits. In exchange for the program funds the borrower agrees to levy a special tax against the property on its property tax bill.

This approach allows for the costs of energy improvements to be paid off over time, not just by the current owner but by future owners of the property who enjoy the

conservation benefits and utility bill savings associated with the improvements during the repayment period. Because it is a tax and not a traditional loan, a property owner does not need to pay off all remaining principal on the energy financing at the time of sale. This potentially can create demand among otherwise hard to reach residential and commercial borrowers who may be unsure of how long they will be occupying a particular building. This program is meant to complement other City programs seeking to stimulate these types of retrofits, including but not limited to the Community Resilience and Heating Systems programs to be funded under the EECBG.

Tax Lien Financing Program Milestones:

The City has completed a competitive solicitation for a funding and administrative partner to implement this loan program, and has begun negotiations regarding the design and implementation of the program with the selected proposer. Such agreement will contemplate the leveraging of \$10 million in loan funds from the private market as the program's initial capitalization. The EECBG funds described above would be used to pay for technical assistance associated with formulating and implementing the tax lien financing program on a sustainable basis and negotiating the related agreements for such implementation (e.g. financial advisory services, legal advice, special tax consulting services, development of administrative procedures).

TASK #2 – Municipal Sector Program.

Activity #4 – The Municipal Building Energy Efficiency Retrofit Program. The Municipal Building Energy Efficiency Retrofit Program will provide energy efficiency upgrades to City-owned buildings. The program will reduce energy use and greenhouse gas emissions by providing improvements to lighting, HVAC units, boilers, chillers, domestic hot water (DHW) systems, and building management systems (BMS).

Municipal Sector Program (Retrofits) Metrics:

Annual Energy Savings:

Electricity: 633,524 kWh/year

Natural Gas: 17,613 therms/year

GHG emissions reduced: 446 tons CO₂e/year

Jobs created: 34

Municipal Sector Program Milestones:

1. 6 months: All projects in audit phase.
2. 12 months: All projects in design phase.
3. 18 months: All EECBG funds encumbered.
4. 24 months: All projects in construction phase.
5. 36 months: Closeout of all projects and reporting to USDOE complete.

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

<p>1. Identification Number: DE-EE-0000879/000</p>	<p>2. Program/Project Title: Recovery Act: Building Improvements – Energy Savings, Community Resilience Program</p>																						
<p>3. Recipient: SAN FRANCISCO, CITY & COUNTY OF, PUBLIC UTILITIES DEPT.</p>																							
<p>4. Reporting Requirements:</p> <p>A. MANAGEMENT REPORTING</p> <p><input checked="" type="checkbox"/> Progress Report <input type="checkbox"/> Special Status Report</p> <p>B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/clink.)</p> <table style="width:100%; border: none;"> <tr> <td style="text-align: left;">Report/Product</td> <td style="text-align: left;">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> <p>* Scientific and technical conferences only</p> <p>C. FINANCIAL REPORTING</p> <p><input checked="" type="checkbox"/> SF-425, Financial Status Report</p> <p>D. CLOSEOUT REPORTING</p> <p><input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other</p> <p>E. OTHER REPORTING</p> <p><input type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory of Federally Owned Property, if any <input checked="" type="checkbox"/> Other</p>	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	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Frequency</th> <th style="text-align: center;">No. of Copies</th> <th style="text-align: center;">Addressees</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Q, A</td> <td></td> <td style="text-align: center;">EECBG@go.doe.gov</td> </tr> <tr> <td style="text-align: center;">Q</td> <td></td> <td style="text-align: center;">EECBG@go.doe.gov</td> </tr> <tr> <td style="text-align: center;">A</td> <td></td> <td style="text-align: center;">See Special Instructions Below</td> </tr> </tbody> </table>	Frequency	No. of Copies	Addressees	Q, A		EECBG@go.doe.gov	Q		EECBG@go.doe.gov	A		See Special Instructions Below
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																						
Frequency	No. of Copies	Addressees																					
Q, A		EECBG@go.doe.gov																					
Q		EECBG@go.doe.gov																					
A		See Special Instructions Below																					
<p>FREQUENCY CODES AND DUE DATES:</p> <p>A - Within 5 calendar days after events or as needed. F - Final; 90 calendar days after expiration or termination of the award. Y - Yearly; 90 days after the end of the reporting period. S - Semiannually; within 30 days after end of reporting period. Q - Quarterly; within 30 days after end of the reporting period.</p>																							
<p>5. Special Instructions: NOTE: The Reporting Requirements shown on this checklist are to be used in the interim and will be revised when the EECBG reporting system is finalized. This checklist will be replaced at that time with a modification to the award.</p> <p>Other Reporting: AMERICAN RECOVERY AND REINVESTMENT ACT REPORTING: See the Special Terms and Conditions for Recovery Act reporting requirements, along with the following web site: http://www.federalreporting.gov. The required 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. Recipients are instructed to maintain data in order to report cumulatively beginning with an estimated October 10, 2009 reporting deadline.</p>																							

Federal Assistance Reporting Instructions (5/06)

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 Project Officer identified in Block 11 of the Notice of Financial Assistance Award.
 - 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.

Special Status Report

The recipient must report the following events by e-mail as soon as possible after they occur:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays, or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:
 - a. Any single fatality or injuries requiring hospitalization of five or more individuals.
 - b. Any significant environmental permit violation.
 - c. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes.
 - d. Any incident which causes a significant process or hazard control system failure.
 - e. Any event which is anticipated to cause a significant schedule slippage or cost increase.
 - f. Any damage to Government-owned equipment in excess of \$50,000.
 - g. Any other incident that has the potential for high visibility in the media.

B. SCIENTIFIC/TECHNICAL REPORTS

Final Scientific/Technical Report

Content. The final scientific/technical report must include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. Identify the DOE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.

2. Display prominently on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports.
3. Provide an executive summary, which includes a discussion of 1) how the research adds to the understanding of the area investigated; 2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or 3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layman.
4. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
5. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.
6. Identify products developed under the award and technology transfer activities, such as:
 - a. Publications (list journal name, volume, issue), conference papers, or other public releases of results. If not provided previously, attach or send copies of any public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award;
 - 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, licensing agreements; and
 - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
7. For projects involving computer modeling, provide the following information with the final report:
 - a. Model description, key assumptions, version, source and intended use;
 - b. Performance criteria for the model related to the intended use;
 - c. Test results to demonstrate the model performance criteria were met (e.g., code verification/validation, sensitivity analyses, history matching with lab or field data, as appropriate);
 - d. Theory behind the model, expressed in non-mathematical terms;
 - e. Mathematics to be used, including formulas and calculation methods;

- f. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
- g. Hardware requirements; and
- h. Documentation (e.g., users guide, model code).

Electronic Submission. The final scientific/technical report must be submitted electronically-via the DOE Energy Link System (E-Link) accessed at <http://www.osti.gov/elink-2413>.

Electronic Format. Reports must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted electronically, should be sent to the Contracting Officer at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. The report must be accompanied by a completed electronic version of DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." You can complete, upload, and submit the DOE F.241.3 online via E-Link. You are encouraged not to submit patentable material or protected data in these reports, but if there is such material or data in the report, you must: (1) clearly identify patentable or protected data on each page of the report; (2) identify such material on the cover of the report; and (3) mark the appropriate block in Section K of the DOE F 241.3. Reports must not contain any limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release. Protected data is specific technical data, first produced in the performance of the award that is protected from public release for a period of time by the terms of the award agreement.

Conference Papers/Proceedings

Content: The recipient must submit a copy of any conference papers/proceedings, with the following information: (1) Name of conference; (2) Location of conference; (3) Date of conference; and (4) Conference sponsor.

Electronic Submission. Scientific/technical conference paper/proceedings must be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/elink-2413>. Non-scientific/technical conference papers/proceedings must be sent to the URL listed on the Reporting Checklist.

Electronic Format. Conference papers/proceedings must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. If the proceedings cannot be submitted electronically, they should be sent to the DOE Administrator at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. Scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on E-Link at <http://www.osti.gov/elink-2413>. This form is not required for non-scientific or non-technical conference papers or proceedings.

Software/Manual

Content. Unless otherwise specified in the award, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts.

Electronic Submission. Submissions may be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/estsc/241-4pre.jsp>. They may also be submitted via regular mail to:

Energy Science and Technology Software Center
P.O. Box 1020
Oak Ridge, TN 37831

Submittal Form. Each software deliverable and its manual must be accompanied by a completed DOE Form 241.4 "Announcement of U.S. Department of Energy Computer Software." The form and instructions are available on E-Link at <http://www.osti.gov/estsc/241-4pre.jsp>.

C. FINANCIAL REPORTING

Recipients must complete the financial reports identified on the Reporting Checklist in accordance with the report instructions. These standard forms are available at <http://www.whitehouse.gov/omb/grants/index.html>. Fillable forms are available at <http://grants.pr.doe.gov>.

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at <http://www.directives.doe.gov/pdfs/forms/2050-11.pdf> and http://management.energy.gov/business_doe/business_forms.htm

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at http://management.energy.gov/business_doe/business_forms.htm

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 Award Administrator identified in Block 12 of the Notice of Financial Assistance Award.

Annual Inventory of Federally Owned Property

Requirement. If at any time during the award the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the recipient must submit an annual inventory of this property to the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th.

Content of Inventory. The inventory must include a description of the property, tag number, acquisition date, location of property, and acquisition cost, if purchased with project funds. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary		Estimated Unobligated Funds			New or Revised Budget		Total (g)
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	(c)	Non-Federal (d)	Federal (e)	Non-Federal (f)		
1. Heating systems				\$2,453,233		\$2,453,233	
2. Community resilience				\$1,552,738		\$1,552,738	
3. Tax lien financing technical assistance				\$616,404		\$616,404	
4. Municipal buildings retrofit				\$3,116,925		\$3,116,925	
5. Totals		\$0	\$0	\$7,739,300	\$0	\$7,739,300	

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(Activity 1.) Residential Sector - Heating Systems; Financial Incentive Activity	(Activity 2.) Residential Sector --Community Resilience; Financial Incentive Activity	(Activity 3.) Residential Sector - Tax Lien Financing Technical Assistance; Financial Incentive Activity	(Activity 4.) Municipal Sector -- Municipal Building Retrofit; Energy Efficient Retrofit Activity	
a. Personnel	\$211,093	\$167,544	\$0	\$356,274	\$734,911
b. Fringe Benefits	\$96,764	\$76,802	\$0	\$163,315	\$336,881
c. Travel	\$980	\$1,600	\$0	\$0	\$2,580
d. Equipment	\$0	\$0	\$0	\$1,515,849	\$1,515,849
e. Supplies	\$0	\$26,833	\$0	\$62,796	\$89,629
f. Contractual	\$1,883,421	\$1,059,213	\$616,404	\$580,474	\$4,139,512
g. Construction	\$0	\$0	\$0	\$0	\$0
h. Other	\$0	\$13,612	\$0	\$0	\$13,612
i. Total Direct Charges (sum of 6a-6h)	\$2,192,258	\$1,345,604	\$616,404	\$2,678,708	\$6,832,974
j. Indirect Charges	\$260,974	\$207,135	\$0	\$438,217	\$906,326
k. Totals (sum of 6i-6j)	\$2,453,233	\$1,552,738	\$616,404	\$3,116,925	\$7,739,300
7. Program Income	\$0	\$0	\$0	\$0	\$0

Office of the Mayor
City & County of San Francisco



Gavin Newsom

June 22, 2009

To Whom It May Concern,

I write this letter in support of the City and County of San Francisco's application for federal funding under the Energy Efficiency and Conservation Block Grant program. We are excited to use these funds to expand energy efficiency and conservation in our diverse communities, reduce green house gas emissions, and develop jobs for unemployed residents. We look forward with anticipation to receiving these funds to advance this work.

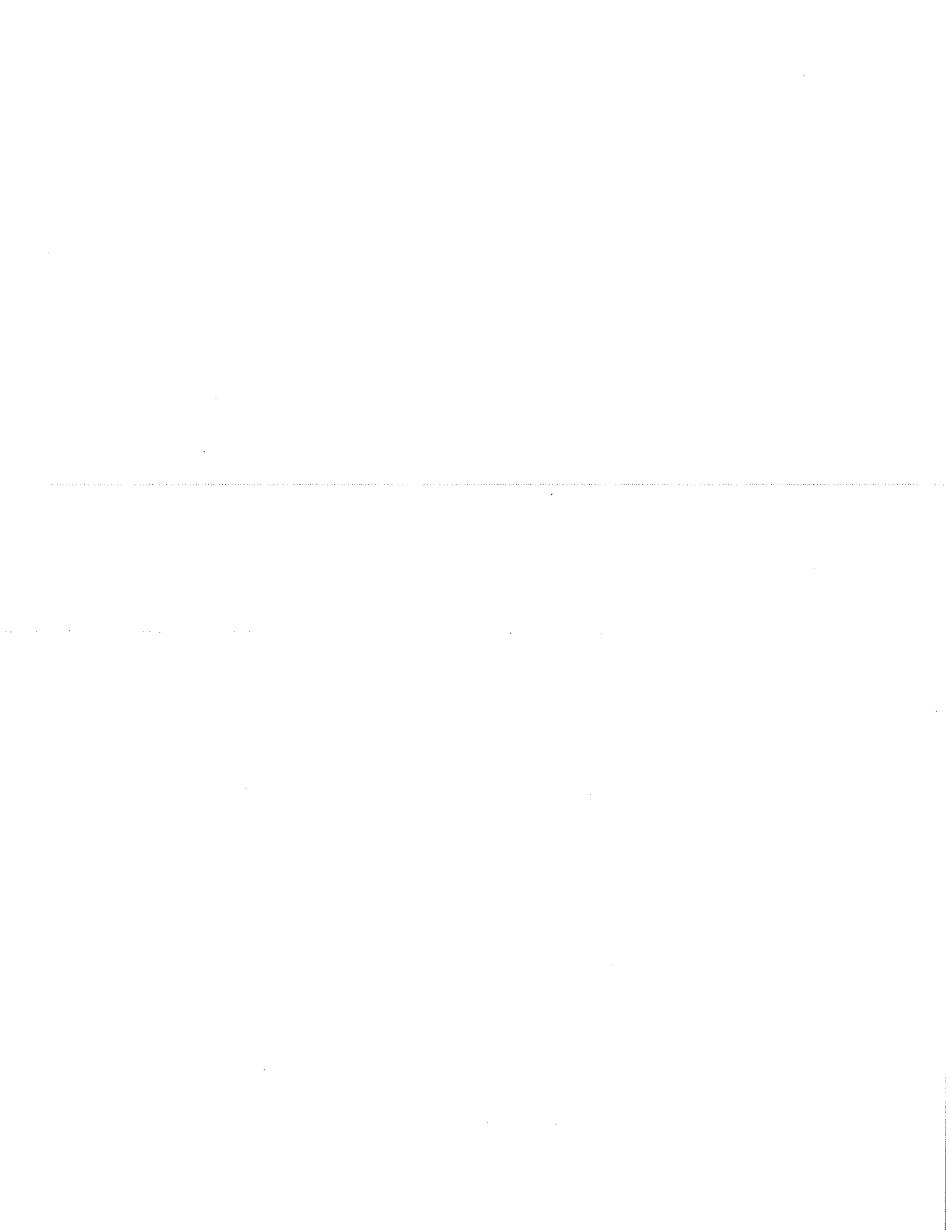
In consultation with Mr. Ed Harrington, General Manager of the San Francisco Public Utilities Commission, I, Gavin Newsom, Mayor of San Francisco California, assure that the San Francisco Public Utilities Commission is the authorized City department to apply for and receive funding appropriated to the U.S. Department of Energy pursuant to the American Recovery and Reinvestment Act of 2009, Public Law 111-5, as set forth in Title V, Subtitle E, Energy Efficiency and Conservation Block Grants, Sections 541(3)(A) or 541(3)(B) of EISA 2007, Public Law 110-140.

With this letter, I certify that the contact person authorized to accept the funds for the San Francisco Public Utilities Commission is Ms. Paula Florence, Director of Accounting. She can be reached at (415) 487-5266 and pflorence@sfgwater.org.

This letter further provides assurance that the City and County of San Francisco and the San Francisco Public Utilities Commission will comply with the Davis-Bacon Act, as determined in subchapter IV of Chapter 31 of title 40, United States Code. All laborers and mechanics on projects funded through the American Recovery and Reinvestment Act of 2009 will be paid no less than prevailing wages and fringe benefits, as determined by the Secretary of Labor.

Sincerely,

Gavin Newsom
MAYOR



Instructions and Summary

Award Number: DE-FG36-08GO88003
 Award Recipient: San Francisco Public Utilities

Date of Submission: June 23, 2009
 Form submitted by: San Francisco Public Utilities Commission
 (May be award recipient or sub-recipient)

**Please read the instructions on each page before starting.
 If you have any questions, please ask your DOE contact. It will save you time!**

On this form, provide detailed support for the estimated project costs identified on the SF-424A form (Budget).

- The dollar amounts on this page must match the amounts on the associated SF-424A.
- The award recipient and each sub-recipient with estimated costs of \$100,000 or more must complete this form and a SF-424A form.
- The total budget presented on this form and on the SF424A must include both Federal (DOE), and Non-Federal (cost share) portions, thereby reflecting TOTAL PROJECT COSTS proposed.
- For costs in each Object Class Category on the SF-424A, complete the corresponding worksheet on this form (tab at the bottom of the page).
- All costs incurred by the preparer's sub-recipients, vendors, contractors, consultants and Federal Research and Development Centers (FFRDCs), should be entered only in section f. Contractual. All other sections are for the costs of the preparer only.

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED

(Note: The values in this summary table are from entries made in each budget category sheet.)

CATEGORY	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Total Costs	Project Costs %	Comments (Add comments as needed)
a. Personnel	\$27,775	\$312,838	\$15,662	\$356,274	11.4%	
b. Fringe Benefits	\$12,732	\$143,405	\$7,179	\$163,316	5.2%	
c. Travel	\$0	\$0	\$0	\$0	0.0%	
d. Equipment	\$0	\$1,515,849	\$0	\$1,515,849	48.6%	
e. Supplies	\$0	\$62,796	\$0	\$62,796	2.0%	
f. Contractual	\$0	\$0	\$0	\$0	0.0%	
Sub-recipient	\$0	\$0	\$0	\$0	0.0%	
FFRDC	\$0	\$580,474	\$0	\$580,474	18.6%	
Vendor	\$0	\$580,474	\$0	\$580,474	18.6%	
Total Contractual	\$0	\$0	\$0	\$0	0.0%	
g. Construction	\$0	\$0	\$0	\$0	0.0%	
h. Other Direct Costs	\$0	\$0	\$0	\$0	0.0%	
i. Indirect Charges	\$34,163	\$384,790	\$19,264	\$438,217	14.1%	
Total Project Costs	\$74,670	\$3,000,151	\$42,104	\$3,116,925	100.0%	

Additional Explanations/Comments (as necessary)

a. Personnel

PLEASE READ!!!

List costs solely for employees of the entity completing this form (award recipient or sub-recipient). All other personnel costs (of subrecipients or other contractual efforts of the entity preparing this) must be included under f, Contractual. This includes all consultants and FFRDCs.

Identify positions to be supported. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.).

Add rows as needed. Formulas/calculations will need to be entered by the preparer of this form. Please enter formulas as shown in the example.

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Budget Period 3			Project Total Hours	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 3			
1. Generation 2A Receiver Design		10000		\$423,000	600		\$24,000	880		\$31,000	11400	\$478,000	Actual Salary
EXAMPLE Sr. Engineer		2000	\$85.00	\$170,000	200	\$50.00	\$10,000	200	\$50.00	\$10,000	2400	\$190,000	Actual Salary
ONLY!!! Electrical engineers		6200	\$35.00	\$217,000	400	\$35.00	\$14,000	600	\$35.00	\$21,000	7200	\$252,000	Actual Salary
Technician		1800	\$20.00	\$36,000	0	\$0.00	\$0	0	\$0.00	\$0	1800	\$36,000	Actual Salary
1. Project Design													
5602 Utility Analyst - Energy Efficiency		282	\$57.09	\$16,099	80	\$57.09	\$4,567	0	\$57.09	\$0	362	\$20,666	Actual Salary
0931 Manager - EE Projects		60	\$60.60	\$3,636	24	\$60.60	\$1,454	0	\$60.60	\$0	84	\$5,090	Actual Salary
1446 Secretary II		118	\$28.93	\$3,413	40	\$28.93	\$1,157	0	\$28.93	\$0	158	\$4,570	Actual Salary
5502 Project Manager - DPW		0	\$63.94	\$0	76	\$63.94	\$4,859	0	\$63.94	\$0	76	\$4,859	Actual Salary
5268 Architect		0	\$61.03	\$0	54	\$61.03	\$3,295	0	\$61.03	\$0	54	\$3,295	Actual Salary
5265 Associate Architect		0	\$45.32	\$0	164	\$45.32	\$7,432	0	\$45.32	\$0	164	\$7,432	Actual Salary
5211 Senior Engineer - Mechanical		0	\$70.65	\$0	208	\$70.65	\$14,695	0	\$70.65	\$0	208	\$14,695	Actual Salary
5241 Engineer - Mechanical		0	\$61.03	\$0	300	\$61.03	\$18,309	0	\$61.03	\$0	300	\$18,309	Actual Salary
5207 Associate Engineer - Mechanical		0	\$52.73	\$0	760	\$52.73	\$40,071	0	\$52.73	\$0	760	\$40,071	Actual Salary
5211 Senior Engineer - Electrical		0	\$70.65	\$0	320	\$70.65	\$22,608	0	\$70.65	\$0	320	\$22,608	Actual Salary
5241 Engineer - Electrical		0	\$61.03	\$0	156	\$61.03	\$9,521	0	\$61.03	\$0	156	\$9,521	Actual Salary
5207 Associate Engineer - Electrical		0	\$52.73	\$0	340	\$52.73	\$17,927	0	\$52.73	\$0	340	\$17,927	Actual Salary
2. Contract Preparation													
5241 Engineer		68	\$52.73	\$3,586	420	\$52.73	\$22,147	0	\$52.73	\$0	488	\$25,732	Actual Salary
1446 Secretary II		36	\$28.93	\$1,041	220	\$28.93	\$6,364	0	\$28.93	\$0	256	\$7,405	Actual Salary
3. Installation													
5211 Senior Engineer - Mechanical		0	\$70.65	\$0	160	\$70.65	\$11,304	0	\$70.65	\$0	160	\$11,304	Actual Salary
5207 Resident Engineer		0	\$52.73	\$0	600	\$52.73	\$31,635	0	\$52.73	\$0	600	\$31,635	Actual Salary
6318 Construction Inspector		0	\$45.76	\$0	600	\$45.76	\$27,458	0	\$45.76	\$0	600	\$27,458	Actual Salary
5602 Utility Analyst - Energy Efficiency		0	\$57.09	\$0	300	\$57.09	\$17,127	0	\$57.09	\$0	300	\$17,127	Actual Salary

b. Fringe Benefits

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	45.8%	45.8%	45.8%	
Total fringe requested:	\$12,732	\$143,405	\$7,179	\$163,316

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required if reimbursement for fringe benefits is requested. Please check (X) one of the options below and provide the requested information, if it has not already been provided to the Contracting Officer, OR if it has changed since it was. Calculate the fringe rate and enter the total amount in Section B, line 6.b. ("Fringe Benefits") of form SF-424A.

A fringe benefit rate has been negotiated with, or approved by, a federal government agency. A copy of the latest rate agreement is included with this application, and will be provided electronically to the Contracting Officer for this project.
(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed fringes benefits dollars should also be provided.)

There is not a current, federally approved rate agreement negotiated and available.

(When this option is checked, the entity preparing this form shall submit a rate proposal in the format provided at the following website, or a format that provides the same level of information and which will support the rates being proposed for use in performance of the proposed project. Go to <https://www.eere-pmc.energy.gov/forms.aspx> and select PMC 400.2 Sample Rate Proposal.)

Additional explanation/comments (as necessary)

SFPUC's cost structure is similar to the San Francisco Department of Public Works structure and is providing a copy of that plan which has been approved by the U.S. Department of Transportation. A copy will be provided electronically to the Contracting Officer for this project when that person is assigned.

c. Travel

PLEASE READ!!!

Provide travel detail as requested below, identifying total Foreign and Domestic Travel as separate items. Purpose of travel are it conference, DOE sponsored meeting, project management meeting, etc. The Basis for Estimating Costs are items such as past ti Travel Regulations, etc.

All listed travel must be necessary for performance of the Statement of Project Objectives.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Purpose of travel	No. of Travelers	Depart From (not required for domestic travel)	Destination (not required for domestic travel)	No. of Days	Cost per Traveler	Cost per Trip
Budget Period 1						
Domestic Travel						
EXAMPLE ONLY!!! Visit to PV cell mfr. to set up vendor agreement	2			2	\$650	\$1,300
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
Domestic Travel subtotal						\$0
International Travel						
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
International Travel subtotal						\$0
Budget Period 1 Total						\$0

Purpose of travel	No. of Travelers	Depart From (not required for domestic travel)	Destination (not required for domestic travel)	No. of Days	Cost per Traveler	Cost per Trip
Budget Period 2						
Domestic Travel						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
Domestic Travel subtotal						\$0
International Travel						\$0
						\$0
						\$0
						\$0
						\$0
International Travel subtotal						\$0
Budget Period 2 Total						\$0
Budget Period 3						
Domestic Travel						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
Domestic Travel subtotal						\$0
International Travel						\$0
						\$0
						\$0
						\$0
						\$0
International Travel subtotal						\$0
Budget Period 3 Total						\$0
PROJECT TOTAL						\$0

Additional Explanations/Comments (as necessary)

Purpose of travel	No. of Travelers	Depart From (not required for domestic travel)	Destination (not required for domestic travel)	No. of Days	Cost per Traveler	Cost per Trip

Items such as professional
fees, current quotations, Federal

Basis for Estimating Costs

Internet prices

Basis for Estimating Costs

d. Equipment

PLEASE READ!!!

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at <https://www.eere-pmc.energy.gov/Forms.aspx#regs>.

List all proposed equipment below, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives. If it is existing equipment, and the value of its contribution to the project budget is being shown as cost share, provide logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown.

For equipment over \$50,000 in price, also include a copy of the associated vendor quote or catalog price list.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Thermal shock chamber	2	\$20,000	\$40,000	Vendor Quote	Reliability testing of PV modules- Task 4.3
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 1 Total			\$0		
Budget Period 2					
HVAC Equipment - Rooftop Unit/ Chiller	1	\$1,498,929	\$1,498,929	Engineer's Estimate	Required for HVAC replacement
Domestic Hot Water Heater Upgrades	1	\$16,920	\$16,920	Engineer's Estimate	Required for DHW Heater energy efficiency
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 2 Total			\$1,515,849		

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 3					
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 3 Total					
PROJECT TOTAL			\$1,515,849		

Additional Explanations/Comments (as necessary)

e. Supplies

PLEASE READ!!!

Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at <https://www.eere-pmc.energy.gov/Forms.aspx#regs>.

List all proposed supplies below, providing a bases of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying the need for the Supplies as they apply to the Statement of Project Objectives. Note that Supply items must be direct costs to the project at this budget category, and not duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Wireless DAS components	10	\$360.00	\$3,600	Catalog price	For Alpha prototype - Task 2.4
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 1 Total			\$0		
Budget Period 2					
Installation of EE lighting systems/bulbs	1	\$62,795.50	\$62,796	Engineer's estimate	Required for EE Improvements to Lighting Systems
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 2 Total			\$62,796		

General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 3					
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 3 Total			\$62,796		
PROJECT TOTAL			\$62,796		

Additional Explanations/Comments (as necessary)

f. Contractual

PLEASE READ!!!

The entity completing this form must provide all costs related to sub-recipients, vendors, contractors, consultants and FFRDC partners in the applicable boxes below.

Sub-recipients (partners, sub-awardees):

For each sub-recipient with total project costs of \$100,000 or more, a separate SF-424A budget and PMC123.1 budget justification form must be submitted. These sub-recipient forms may be completed by either the sub-recipients themselves or by the preparer of this form. The budget totals on the sub-recipient's forms must match the sub-recipient entries below.

The preparer of this form need only provide further support of the completed sub-recipient budget forms as they deem necessary. The support to justify the budgets of sub-recipients with estimated costs less than \$100,000 may be in any format, and at a minimum should provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Vendors (includes contractors and consultants):

List all vendors, contractors and consultants supplying commercial supplies or services used to support the project. The support to justify vendor costs (in any amount) should provide the purpose for the products or services and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Federal Research and Development Centers (FFRDCs):

For FFRDC partners, award recipient will provide a Field Work Proposal (if not already provided with the original application), along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than \$25,000, including Quantity, Unit Cost, Basis of Cost, and Justification. The award recipient may allow the FFRDC to provide this information directly to DOE.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
					\$0
					\$0
					\$0
					\$0
					\$0

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
					\$0
					\$0
	Sub-total	\$0	\$0	\$0	\$0

Vendor Name/Organization	Product or Service, Purpose/Need and Basis of Cost (Provide additional support at bottom of page as needed)	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! ABC Corp.	Vendor for developing custom robotics to perform lens inspection, alignment, and placement (Task 4). Required for expanding CPV module mfg. capacity. Cost is from competitive quotes.	\$32,900	\$86,500		\$119,400
To be determined by competitive bid process	Subcontractor/General Contractor mark-ups		\$580,474		\$580,474
					\$0
					\$0
					\$0
					\$0
					\$0
					\$0
		\$0	\$580,474	\$0	\$580,474

FFRDC Name/Organization	Purpose	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
					\$0
		\$0	\$0	\$0	\$0
					\$0
Total Contractual		\$0	\$580,474	\$0	\$580,474

Additional Explanations/Comments (as necessary)

g. Construction

PLEASE READ!!!

Construction, for the purpose of budgeting, is defined as all types of work done on a particular building, including erecting, altering, or remodeling. Construction conducted by the award recipient is entered on this page. Any construction work that is performed by a vendor or subrecipient to the award recipient should be entered under f. Contractual.

List all proposed construction below, providing a basis of cost such as engineering estimates, prior construction, etc., and briefly justify its need as it applies to the Statement of Project Objectives.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Overall description of construction activities:

Example Only!!! - Build wind turbine platform

General Description	Cost		Basis of Cost	Justification of need
	Budget Period 1	Budget Period 2		
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000		Engineering estimate	Site must be prepared for construction of platform.
Budget Period 1 Total		\$0		
			Budget Period 2	
Budget Period 2 Total		\$0		
			Budget Period 3	

General Description	Cost	Basis of Cost	Justification of need
	\$0		
Budget Period 3 Total	\$0		
PROJECT TOTAL	\$0		

Additional Explanations/Comments (as necessary)

--

h. Other Direct Costs

PLEASE READ!!!

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Examples are meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.

Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

General description	Cost	Basis of Cost	Justification of need
Budget Period 1			
EXAMPLE ONLY!!! Grad student tuition	\$16,000	Established UCD costs	Support of graduate students working on project
Budget Period 1 Total	\$0		
Budget Period 2			
Budget Period 2 Total	\$0		
Budget Period 3			
Budget Period 3 Total	\$0		
PROJECT TOTAL	\$0		

Additional Explanations/Comments (as necessary)

i. Indirect Costs

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	123.0%	123.0%	123.0%	
Total indirect costs requested:	\$34,163	\$384,790	\$19,264	\$438,217

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of fringe benefits is requested. Please check (X) one of the options below and provide the requested information if it has not already been provided as requested, or has changed. Calculate the indirect rate dollars and enter the total in the Section B., line 6.j. (Indirect Charges) of form SF 424A.

There is a federally approved indirect rate agreement. A copy is provided with this application and will be provided electronically to the Contracting Officer for this project.

(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed indirect charges proposed should also be provided.)

There is no current, federally-approved indirect rate agreement.

(When this option is checked, the entity preparing this form shall submit an indirect cost rate proposal in the format provided at the following website, or in a format that provides the same level of information and which supports the rate(s) being proposed for use in estimating the project. Go to <https://www.eere-pmc.energy.gov/forms.aspx> and select PMC 400.2 Sample Rate Proposal.)

Additional Explanations/Comments (as necessary)

SFPUC's cost structure is similar to the San Francisco Department of Public Works structure and is providing a copy of that plan which has been approved by the U.S. Department of Transportation. A copy will be provided electronically to the Contracting Officer for this project when that person is assigned.

i. Indirect Costs

Cost Share

PLEASE READ!!!

A detailed presentation of the cash or cash value of all cost share proposed for the project must be provided in the table below. Identify the source & amount of each item of cost share proposed by the award recipient and each sub-recipient and each sub-recipient must be submitted for all third party cost share (other than award recipient).

Note that "cost-share" is not limited to cash investment. Other items that may be assigned value in a budget as incurred as part of the project budget and necessary to performance of the project, may be considered as cost share, such as: contribution of services or property; donated, purchased or existing equipment; buildings or land; donated, purchased or existing supplies; and/or unrecovered personnel, fringe benefits and indirect costs, etc. For each cost share contribution identified as other than cash, identify the item and describe how the value of the cost share contribution was calculated.

Funds from other Federal sources **MAY NOT** be counted as cost share. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds. Documentation of cost sharing commitments must be provided, if not already provided with the original application and they have not changed since its submission.

Fee or profit will not be paid to the award recipients or subrecipients of financial assistance awards. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.222 or 10 CFR 600.317. Also see 10 CFR 600.318 relative to profit or fee.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
ABC Company EXAMPLE ONLY!!!	Cash	Project partner ABC Company will provide 40 PV modules for product development at 50% off the of the retail price of \$680	\$13,600			\$13,600
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
						\$0
						\$0
						\$0
						\$0
Totals			\$0	\$0	\$0	\$0

Total Project Cost: \$3,116,925

Cost Share Percent of Award: 0.0%

Additional Explanations/Comments (as necessary)

Instructions and Summary

Award Number: DE-FG36-08GO88003

Date of Submission: June 23, 2009

Award Recipient: San Francisco Public Utilities

Form submitted by: San Francisco Public Utilities Commission

(May be award recipient or sub-recipient)

Please read the instructions on each page before starting.

If you have any questions, please ask your DOE contact. It will save you time!

On this form, provide detailed support for the estimated project costs identified on the SF-424A form (Budget).

- The dollar amounts on this page must match the amounts on the associated SF-424A.
- The award recipient and each sub-recipient with estimated costs of \$100,000 or more must complete this form and a SF-424A form.
- The total budget presented on this form and on the SF424A must include both Federal (DOE), and Non-Federal (cost share) portions, thereby reflecting TOTAL PROJECT COSTS proposed.
- For costs in each Object Class Category on the SF-424A, complete the corresponding worksheet on this form (tab at the bottom of the page).
- All costs incurred by the preparer's sub-recipients, vendors, contractors, consultants and Federal Research and Development Centers (FFRDCs), should be entered only in section f. Contractual. All other sections are for the costs of the preparer only.

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED

(Note: The values in this summary table are from entries made in each budget category sheet.)

CATEGORY	Budget Period 1 Costs	Budget/Period 2 Costs	Budget/Period 3 Costs	Total Costs	Project Costs %	Comments (Add comments as needed)
a. Personnel	\$378,636	\$0	\$0	\$378,636	8.2%	
b. Fringe Benefits	\$173,567	\$0	\$0	\$173,567	3.8%	
c. Travel	\$2,580	\$0	\$0	\$2,580	0.1%	
d. Equipment	\$0	\$0	\$0	\$0	0.0%	
e. Supplies	\$26,833	\$0	\$0	\$26,833	0.6%	
f. Contractual	\$0	\$0	\$0	\$0	0.0%	
Sub-recipient	\$0	\$0	\$0	\$0	0.0%	
FFRDC	\$3,213,344	\$0	\$0	\$3,213,344	69.5%	
Vendor	\$3,213,344	\$0	\$0	\$3,213,344	69.5%	
Total Contractual	\$0	\$0	\$0	\$0	0.0%	
g. Construction	\$630,016	\$0	\$0	\$630,016	13.6%	
h. Other Direct Costs	\$197,399	\$0	\$0	\$197,399	4.3%	
i. Indirect Charges	\$4,622,375	\$0	\$0	\$4,622,375	100.0%	
Total Project Costs						

Additional Explanations/Comments (as necessary)

a. Personnel

PLEASE READ!!!

List costs solely for employees of the entity completing this form (award recipient or sub-recipient). All other personnel costs (of subrecipients or other contractual efforts of the entity preparing this) must be included under f., Contractual. This includes all consultants and FFRDCs.

Identify positions to be supported. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.).

Add rows as needed. Formulas/calculations will need to be entered by the preparer of this form. Please enter formulas as shown in the example.

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Budget Period 3			Project Total Hours	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 3			
1. Generation 2A Receiver Design		10000		\$423,000	600		\$24,000	800		\$31,000	11400	\$478,000	Actual Salary
EXAMPLE	Sr. Engineer	2000	\$85.00	\$170,000	200	\$50.00	\$10,000	200	\$50.00	\$10,000	2400	\$190,000	Actual Salary
ONLY!!!	Electrical engineers	6200	\$35.00	\$217,000	400	\$35.00	\$14,000	600	\$35.00	\$21,000	7200	\$252,000	Actual Salary
	Technician	1800	\$20.00	\$36,000	0	\$0.00	\$0	0	\$0.00	\$0	1800	\$36,000	Actual Salary
1. Community Resilience													
5640	Program Manager	2,080	\$39.73	\$82,628							2080	\$82,628	Actual Salary
5207	Associate Engineer	1040	\$52.73	\$54,834							1040	\$54,834	Actual Salary
1446	Secretary II	1040	\$28.93	\$30,082							1040	\$30,082	Actual Salary
2. Heating Systems													
5207	Associate Engineer (2)	3120	\$52.73	\$164,502							3120	\$164,502	Actual Salary
5642	Environmental Specialist	748	\$46.20	\$34,558							748	\$34,558	Actual Salary
1446	Secretary II	416	\$28.93	\$12,033							416	\$12,033	Actual Salary

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Budget Period 3			Project Total Hours	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 3			
Total Personnel Costs		8444		\$378,636	0		\$0	0		\$0	0	\$378,636	

Additional Explanations/Comments (as necessary)

b. Fringe Benefits

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	45.8%			
Total fringe requested:	\$173,567	\$0	\$0	\$173,567

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required if reimbursement for fringe benefits is requested. Please check (X) one of the options below and provide the requested information, if it has not already been provided to the Contracting Officer, OR if it has changed since it was. Calculate the fringe rate and enter the total amount in Section B, line 6.b. ("Fringe Benefits") of form SF-424A.

A fringe benefit rate has been negotiated with, or approved by, a federal government agency. A copy of the latest rate agreement is included with this application, and will be provided electronically to the Contracting Officer for this project.
(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed fringes benefits dollars should also be provided.)

There is not a current, federally approved rate agreement negotiated and available.

(When this option is checked, the entity preparing this form shall submit a rate proposal in the format provided at the following website, or a format that provides the same level of information and which will support the rates being proposed for use in performance of the proposed project. Go to <https://www.eere-pmc.energy.gov/forms.aspx> and select PMC 400.2 Sample Rate Proposal.)

Additional explanation/comments (as necessary)

For mandatory fringe benefits and paid time off, SFPUC's fringe benefit cost allocation is 30 percent. As this federal grant is providing funding for the project's estimated shortfall, the project is being matched with 60% local funds not including fringe benefits. With fringe benefits, an additional \$37,105 would need be reflected in total costs as well as total matching local funds.

c. Travel

PLEASE READ!!!

Provide travel detail as requested below, identifying total Foreign and Domestic Travel as separate items. Purpose of travel are it conference, DOE sponsored meeting, project management meeting, etc. The Basis for Estimating Costs are items such as past ti Travel Regulations, etc.

All listed travel must be necessary for performance of the Statement of Project Objectives.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Purpose of travel	No. of Travelers	Depart From (not required for domestic travel)	Destination (not required for domestic travel)	No. of Days	Cost per Traveler	Cost per Trip
Budget Period 1						
Domestic Travel						
EXAMPLE ONLY!!! Visit to PV cell mfr: to set up vendor agreement	2			2	\$650	\$1,300
Home Performance Training	10		Stockton, CA	3	\$160	\$1,600
Boiler Training	2		TBD	2	\$490	\$980
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
Domestic Travel subtotal						\$2,580
International Travel						\$0
						\$0
						\$0
						\$0
						\$0
International Travel subtotal						\$0
Budget Period 1 Total						\$2,580

Purpose of travel	No. of Travelers	Depart From (not required for domestic travel)	Destination (not required for domestic travel)	No. of Days	Cost per Traveler	Cost per Trip
Budget Period 2						
Domestic Travel						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
Domestic Travel subtotal						\$0
International Travel						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
International Travel subtotal						\$0
Budget Period 2 Total						\$0
Budget Period 3						
Domestic Travel						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
Domestic Travel subtotal						\$0
International Travel						\$0
						\$0
						\$0
						\$0
						\$0
						\$0
International Travel subtotal						\$0
Budget Period 3 Total						\$0
PROJECT TOTAL						\$2,580

Additional Explanations/Comments (as necessary)

Purpose of travel	No. of Travelers	Depart From (not required for domestic travel)	Destination (not required for domestic travel)	No. of Days	Cost per Traveler	Cost per Trip

Items such as professional
fees, current quotations, Federal

Basis for Estimating Costs

Internet prices

Vendor estimate

Vendor estimate

Basis for Estimating Costs

d. Equipment

PLEASE READ!!!

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at <https://www.eere-pmc.energy.gov/Forms.aspx#regs>.

List all proposed equipment below, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives. If it is existing equipment, and the value of its contribution to the project budget is being shown as cost share, provide logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown.

For equipment over \$50,000 in price, also include a copy of the associated vendor quote or catalog price list.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Thermal shock chamber	2	\$20,000	\$40,000	Vendor Quote	Reliability testing of PV modules- Task 4.3
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 1 Total			\$0		
Budget Period 2					
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 2 Total			\$0		

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 3 Total			\$0		
PROJECT TOTAL			\$0		

Additional Explanations/Comments (as necessary)

e. Supplies

PLEASE READ!!

Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at <https://www.eere-pmc.energy.gov/Forms.aspx#regs>.

List all proposed supplies below, providing a bases of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying the need for the Supplies as they apply to the Statement of Project Objectives. Note that Supply items must be direct costs to the project at this budget category, and not duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Wireless DAS components	10	\$360.00	\$3,600	Catalog price	For Alpha prototype - Task 2.4
Home saver kit: power strip, shower timer, thermal strip, furnace filter whistle, etc.	3004	\$8.20	\$24,633	?	Leave-behind for immediate home energy savings
Tool Kit: Digital thermometer, flashlight, etc.	5	\$440.00	\$2,200	Internet quote	Identification of energy and water saving opportunities
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 1 Total			\$26,833		
Budget Period 2					
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		

General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 2 Total			\$0		
Budget Period 3					
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
			\$0		
Budget Period 3 Total			\$0		
PROJECT TOTAL			\$26,833		

Additional Explanations/Comments (as necessary)

f. Contractual

PLEASE READ!!!

The entity completing this form must provide all costs related to sub-recipients, vendors, contractors, consultants and FFRDC partners in the applicable boxes below.

Sub-recipients (partners, sub-awardees):

For each sub-recipient with total project costs of \$100,000 or more, a separate SF-424A budget and PMC123.1 budget justification form must be submitted. These sub-recipient forms may be completed by either the sub-recipients themselves or by the preparer of this form. The budget totals on the sub-recipient's forms must match the sub-recipient entries below.

The preparer of this form need only provide further support of the completed sub-recipient budget forms as they deem necessary. The support to justify the budgets of sub-recipients with estimated costs less than \$100,000 may be in any format, and at a minimum should provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Vendors (includes contractors and consultants):

List all vendors, contractors and consultants supplying commercial supplies or services used to support the project. The support to justify vendor costs (in any amount) should provide the purpose for the products or services and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Federal Research and Development Centers (FFRDCs):

For FFRDC partners, award recipient will provide a Field Work Proposal (if not already provided with the original application), along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than \$25,000, including Quantity, Unit Cost, Basis of Cost, and Justification. The award recipient may allow the FFRDC to provide this information directly to DOE.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
					\$0
					\$0
					\$0
					\$0
					\$0

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
					\$0
					\$0
	Sub-total	\$0	\$0	\$0	\$0

Vendor Name/Organization	Product or Service, Purpose/Need and Basis of Cost (Provide additional support at bottom of page as needed)	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! ABC Corp.	Vendor for developing custom robotics to perform lens inspection, alignment, and placement (Task 4). Required for expanding CPV module mfg. capacity. Cost is from competitive quotes.	\$32,900	\$86,500		\$119,400
CBO1 To Be Determined	Community Based Organizations to perform outreach, education, and home resiliency assessments	\$87,425			\$87,425
CBO2 TBD	Community Based Organizations to perform outreach, education, and home resiliency assessments	\$87,425			\$87,425
CBO3 TBD	Community Based Organizations to perform outreach, education, and home resiliency assessments	\$87,425			\$87,425
CBO4 TBD	Community Based Organizations to perform outreach, education, and home resiliency assessments	\$87,425			\$87,425
CBO5 TBD	Community Based Organizations to perform outreach, education, and home resiliency assessments	\$87,425			\$87,425
TBD, currently is ICF International selected by public bid for an existing program but contract ends during project period	Community Resilience: Prime Contractor to process applications and make incentive payments	\$62,295			\$62,295
TBD, currently is ICF International selected by public bid for an existing program but contract ends during project period	Heating Systems: Prime Contractor to process applications and make incentive payments	\$69,424			\$69,424
To be determined after competitive bid process	Community Resilience: Incentive payments to installation contractors	\$649,500			\$649,500
To be determined after competitive bid process	Heating Systems: Incentive payments to installation contractors	\$1,995,000			\$1,995,000
		\$3,213,344	\$0	\$0	\$3,213,344

FFRDC Name/Organization	Purpose	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
					\$0

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
		\$0	\$0	\$0	\$0
Total Contractual		\$3,213,344	\$0	\$0	\$3,213,344

Additional Explanations/Comments (as necessary)

--

g. Construction

PLEASE READ!!!

Construction, for the purpose of budgeting, is defined as all types of work done on a particular building, including erecting, altering, or remodeling. Construction conducted by the award recipient is entered on this page. Any construction work that is performed by a vendor or subrecipient to the award recipient should be entered under f. Contractual.

List all proposed construction below, providing a basis of cost such as engineering estimates, prior construction, etc., and briefly justify its need as it applies to the Statement of Project Objectives.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Overall description of construction activities:

Example Only!!! - Build wind turbine platform

General Description	Cost	Basis of Cost	Justification of need
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000	Engineering estimate	Site must be prepared for construction of platform.
Budget Period 1 Total	\$0		
Budget Period 2 Total	\$0		
Budget Period 3 Total	\$0		

h. Other Direct Costs

PLEASE READ!!!

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Examples are meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.

Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

General description	Cost	Basis of Cost	Justification of need
Budget Period 1			
EXAMPLE ONLY!! Grad student tuition	\$16,000	Established UCD costs	Support of graduate students working on project
Revolving Loan or Loan guarantee	\$616,404		
Training	\$2,000	Community Resilience Assessors	10 x \$200 Train on Home Performance testing principles
Brochure	\$11,612	Community Resilience brochures	20,000 X \$.58+
Budget Period 1 Total	\$630,016		
Budget Period 2			
Budget Period 2 Total	\$0		
Budget Period 3			
Budget Period 3 Total	\$0		
PROJECT TOTAL	\$630,016		

Additional Explanations/Comments (as necessary)

i. Indirect Costs

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	123.0%	0.0%	0.0%	
Total indirect costs requested:	\$197,399			\$197,399

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of fringe benefits is requested. Please check (X) one of the options below and provide the requested information if it has not already been provided as requested, or has changed. Calculate the indirect rate dollars and enter the total in the Section B., line 6.j. (Indirect Charges) of form SF 424A.

There is a federally approved indirect rate agreement. A copy is provided with this application and will be provided electronically to the Contracting Officer for this project.
(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed indirect charges proposed should also be provided.)

There is no current, federally-approved indirect rate agreement.

(When this option is checked, the entity preparing this form shall submit an indirect cost rate proposal in the format provided at the following website, or in a format that provides the same level of information and which supports the rate(s) being proposed for use in estimating the project. Go to <https://www.eere-pmc.energy.gov/forms.aspx> and select PMC-400.2 Sample Rate Proposal.)

Additional Explanations/Comments (as necessary)

SFPUC, the grantee, is similar in structure to the SF Dept. of Public Works whose Indirect Cost Plan has been approved by the U.S. Department of Transportation. A copy of that approved plan will be provided to the Contracting Officer upon assignment.

Cost Share

PLEASE READ!!!

A detailed presentation of the cash or cash value of all cost share proposed for the project must be provided in the table below. Identify the source & amount of each item of cost share proposed by the award recipient and each sub-recipient or vendor. Letters of commitment must be submitted for all third party cost share (other than award recipient).

Note that "cost-share" is not limited to cash investment. Other items that may be assigned value in a budget as incurred as part of the project budget and necessary to performance of the project, may be considered as cost share, such as: contribution of services or property; donated, purchased or existing equipment; buildings or land; donated, purchased or existing supplies; and/or unrecovered personnel, fringe benefits and indirect costs, etc. For each cost share contribution identified as other than cash, identify the item and describe how the value of the cost share contribution was calculated.

Funds from other Federal sources MAY NOT be counted as cost share. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds. Documentation of cost sharing commitments must be provided, if not already provided with the original application and they have not changed since its submission.

Fee or profit will not be paid to the award recipients or subrecipients of financial assistance awards. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.222 or 10 CFR 600.317. Also see 10 CFR 600.318 relative to profit or fee.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
ABC Company EXAMPLE ONLY!!!	Cash	Project partner ABC Company will provide 40 PV modules for product development at 50% off the of the retail price of \$680	\$13,600			\$13,600
			\$0			\$0
			\$0			\$0
			\$0			\$0
			\$0			\$0
			\$0			\$0
			\$0			\$0

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
						\$0
						\$0
						\$0
						\$0
Totals			\$0	\$0	\$0	\$0

Total Project Cost: \$4,622,375
 Cost Share Percent of Award: 0.0%

Additional Explanations/Comments (as necessary)

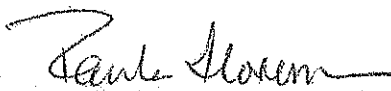


FINANCIAL MANGEMENT ASSESSMENT

This assessment should be completed, signed and certified by the Applicant's Financial Officer.

- | | YES | NO |
|--|-------------------------------------|--------------------------|
| 1. Have you previously done business with DŌE? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 2. Have you previously done business with any other Federal Agency?
If so, please identify:
EPA, FEMA, US Dept of Interior, USBR | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 3. Can the Applicant's Financial Officer or Independent Auditor certify that the Applicant has a financial management system sufficient to meet the requirements of 10 CFR 600.220?
If yes, please skip to question #10 and sign/certify below. | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 4. Does your accounting system have the ability to track costs on a reimbursable basis? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Does your system allow for accurate, current and complete financial reporting, and record keeping as well as the maintaining of adequate source documentation? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Does your system allow for effective internal controls and accountability? | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Does your system allow for effective and efficient cash management procedures? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Does your system prohibit subaward at any tier to any party which is debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs? | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. The expenditure of \$500,000 or more of Federal funds in a fiscal year requires an organization to have an audit performed in accordance with OMB Circular A-133.
Has your organization had such an audit performed? | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. If yes, please provide the most recent report or a copy of the SF-SAC forms filed with the Federal Audit Clearinghouse. If no, proceed to the next statement and certify by checking the YES block. | | |
| I understand the audit requirements and will comply with the provisions of OMB Circular A-133. | <input type="checkbox"/> | <input type="checkbox"/> |

Paula Florence, Director of Accounting



06/04/09

PRINTED NAME, TITLE AND PHONE NUMBER OF INDIVIDUAL COMPLETING FORM DATE

By signing this form, the above individual certifies that the responses provided to this survey are accurate as of the date.

If "NO" has been selected for any of the statements above, please provide further explanation on page 2.

FORM **SF-SAC**
(8-8-2008)

U.S. DEPT. OF COMM. - Econ. and Stat. Admin. - U.S. CENSUS BUREAU
ACTING AS COLLECTING AGENT FOR
OFFICE OF MANAGEMENT AND BUDGET

**Data Collection Form for Reporting on
AUDITS OF STATES, LOCAL GOVERNMENTS, AND NON-PROFIT ORGANIZATIONS
for Fiscal Year Ending Dates in 2008, 2009, or 2010**

▶ Complete this form, as required by OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

PART I GENERAL INFORMATION (To be completed by auditee, except for items 6, 7, and 8)

1. Fiscal period ending date for this submission Month Day Year 06 / 30 / 2008	2. Type of Circular A-133 audit 1 <input checked="" type="checkbox"/> Single audit 2 <input type="checkbox"/> Program-specific audit	3. Audit period covered 1 <input checked="" type="checkbox"/> Annual 3 <input type="checkbox"/> Other - _____ Months 2 <input type="checkbox"/> Biennial
---	---	---

4. Auditee Identification Numbers

a. Primary Employer Identification Number (EIN) 9 4 - 6 8 0 0 4 1 7	d. Data Universal Numbering System (DUNS) Number 9 6 - 0 7 3 - 9 4 4 9
b. Are multiple EINs covered in this report? 1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	e. Are multiple DUNS covered in this report? 1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No
c. If Part I, Item 4b = "Yes," complete Part I, Item 4c on the continuation sheet on Page 4.	f. If Part I, Item 4e = "Yes," complete Part I, Item 4f on the continuation sheet on Page 4.

5. AUDITEE INFORMATION

a. Auditee name CITY AND COUNTY OF SAN FRANCISCO
b. Auditee address (Number and street) DR. CARLTON B. GOODLETT PLACE City SAN FRANCISCO State CA ZIP + 4 Code 9 4 1 0 2 - 4 6 9 4
c. Auditee contact Name FRANCES LEE Title DIRECTOR, ACCTG OPERATIONS & GRANTS MGMT
d. Auditee contact telephone (415) 554 - 7514
e. Auditee contact FAX (415) 554 - 7531
f. Auditee contact E-mail FRANCES.LEE@SFGOV.ORG

6. PRIMARY AUDITOR INFORMATION (To be completed by auditor)

a. Primary auditor name MACIAS GINI & O'CONNELL, LLP
b. Primary auditor address (Number and street) 2175 N. CALIFORNIA BLVD, STE. 645 City WALNUT CREEK State CA ZIP + 4 Code 9 4 5 9 5 - 3 5 0 2
c. Primary auditor contact Name CYNTHIA PON Title PARTNER
d. Primary auditor contact telephone (925) 395 - 2803
e. Primary auditor contact FAX (925) 274 - 3819
f. Primary auditor contact E-mail CPON@MGOCPA.COM

g. AUDITEE CERTIFICATION STATEMENT - This is to certify that, to the best of my knowledge and belief, the auditee has: (1) engaged an auditor to perform an audit in accordance with the provisions of OMB Circular A-133 for the period described in Part I, Items 1 and 3; (2) the auditor has completed such audit and presented a signed audit report which states that the audit was conducted in accordance with the provisions of the Circular; and, (3) the information included in **Parts I, II, and III** of this data collection form is accurate and complete. I declare that the foregoing is true and correct.

g. AUDITOR STATEMENT - The data elements and information included in this form are limited to those prescribed by OMB Circular A-133. The information included in Parts II and III of the form, except for Part III, Items 7, 8, and 9a-9f, was transferred from the auditor's report(s) for the period described in Part I, Items 1 and 3 and is not a substitute for such reports. The auditor has not performed any auditing procedures since the date of the auditor's report(s). A copy of the reporting package required by OMB Circular A-133, which includes the complete auditor's report(s), is available in its entirety from the auditee at the address provided in Part I of this form. As required by OMB Circular A-133, the information in **Parts II and III** of this form was entered in this form by the auditor based on information included in the reporting package. The auditor has not performed any additional auditing procedures in connection with the completion of this form.

Auditee certification	Date
ELECTRONICALLY CERTIFIED	3/25/2009
Name of certifying official	
FRANCES LEE	
Title of certifying official	
DIRECTOR OF ACCOUNTING OPERATIONS & GRANTS	

7a. Add Secondary auditor information? (Optional)
1 Yes 2 No

b. If "Yes," complete Part I, Item 8 on the continuation sheet on page 5.

Auditor certification	Date
ELECTRONICALLY CERTIFIED	3/24/2009

PART II FINANCIAL STATEMENTS (To be completed by auditor)

1. Type of audit report
Mark either: 1 Unqualified opinion **OR**
any combination of: 2 Qualified opinion 3 Adverse opinion 4 Disclaimer of opinion
2. Is a "going concern" explanatory paragraph included in the audit report? 1 Yes 2 No
3. Is a significant deficiency disclosed? 1 Yes 2 No - SKIP to Item 5
4. Is any significant deficiency reported as a material weakness? 1 Yes 2 No
5. Is a material noncompliance disclosed? 1 Yes 2 No

PART III FEDERAL PROGRAMS (To be completed by auditor)

1. Does the auditor's report include a statement that the auditee's financial statements include departments, agencies, or other organizational units expending \$500,000 or more in Federal awards that have separate A-133 audits which are not included in this audit? (AICPA Audit Guide, Chapter 12) 1 Yes 2 No
2. What is the dollar threshold to distinguish Type A and Type B programs? (OMB Circular A-133 § .520(b)) \$ 3,000,000
3. Did the auditee qualify as a low-risk auditee? (§ .530) 1 Yes 2 No
4. Is a significant deficiency disclosed for any major program? (§ .510(a)(1)) 1 Yes 2 No - SKIP to Item 6
5. Is any significant deficiency reported for any major program as a material weakness? (§ .510(a)(1)) 1 Yes 2 No
6. Are any known questioned costs reported? (§ .510(a)(3) or (4)) 1 Yes 2 No
7. Were Prior Audit Findings related to **direct** funding shown in the Summary Schedule of Prior Audit Findings? (§ .315(b)) 1 Yes 2 No

8. Indicate which **Federal** agency(ies) have current year audit findings related to **direct** funding or prior audit findings shown in the Summary Schedule of Prior Audit Findings related to **direct** funding. (Mark (X) all that apply or None)

- | | | | |
|--|--|---|---|
| 98 <input type="checkbox"/> U.S. Agency for International Development | 39 <input type="checkbox"/> General Services Administration | 43 <input type="checkbox"/> National Aeronautics and Space Administration | 96 <input type="checkbox"/> Social Security Administration |
| 10 <input type="checkbox"/> Agriculture | 93 <input type="checkbox"/> Health and Human Services | 89 <input type="checkbox"/> National Archives and Records Administration | 19 <input type="checkbox"/> U.S. Department of State |
| 23 <input type="checkbox"/> Appalachian Regional Commission | 97 <input type="checkbox"/> Homeland Security | 05 <input type="checkbox"/> National Endowment for the Arts | 20 <input type="checkbox"/> Transportation |
| 11 <input type="checkbox"/> Commerce | 14 <input checked="" type="checkbox"/> Housing and Urban Development | 06 <input type="checkbox"/> National Endowment for the Humanities | 21 <input type="checkbox"/> Treasury |
| 94 <input type="checkbox"/> Corporation for National and Community Service | 03 <input type="checkbox"/> Institute of Museum and Library Services | 47 <input type="checkbox"/> National Science Foundation | 64 <input type="checkbox"/> Veterans Affairs |
| 12 <input type="checkbox"/> Defense | 15 <input type="checkbox"/> Interior | 07 <input type="checkbox"/> Office of National Drug Control Policy | 00 <input type="checkbox"/> None |
| 84 <input type="checkbox"/> Education | 16 <input type="checkbox"/> Justice | 59 <input type="checkbox"/> Small Business Administration | <input type="checkbox"/> Other - Specify: |
| 81 <input type="checkbox"/> Energy | 17 <input type="checkbox"/> Labor | | |
| 66 <input type="checkbox"/> Environmental Protection Agency | 09 <input type="checkbox"/> Legal Services Corporation | | |

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR				10. AUDIT FINDINGS				
Federal Agency Prefix ¹	CFDA Number	Research and development ²	Name of Federal program ³	Amount expended ⁴	Direct award ⁵	Major program ⁶	Type(s) of compliance requirement(s) ⁷	Audit finding reference number(s) ⁸
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(a)	(b)
1 0	.580	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FOOD STAMP PROGRAM OUTREACH/PARTICIPATION PROGRAM	\$ 38,940.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 0	.551	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FOOD STAMPS	\$ 42,819,849.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	L	2008-01
1 0	.561	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	STATE ADMINISTRATIVE MATCHING GRANTS FOR FOOD STAMP PROGRAM	\$ 21,575,606.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	L	2008-01
1 0	.557	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN	\$ 2,242,002.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 0	.576	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SENIOR FARMERS MARKET NUTRITION PROGRAM	\$ 39,300.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 0	.553	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SCHOOL BREAKFAST PROGRAM	\$ 66,745.80	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 0	.555	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NATIONAL SCHOOL LUNCH PROGRAM	\$ 103,517.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 0	.559	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SUMMER FOOD SERVICE PROGRAM FOR CHILDREN	\$ 623,207.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	O	N/A
1 0	.6016-8A1	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	LOCAL GOVERNMENT FIRE SUPPRESSION ASSISTANCE TO FOREST AGENCIES	\$ 59,479.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 0	.225	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMMUNITY FOOD PROJECTS	\$ 31,142.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00				

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See instructions).
³ If major program is marked "yes," enter only one letter: **U** = Unqualified opinion, **Q** = Qualified opinion, **A** = Adverse opinion, **D** = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 570(a)) reported for each Federal program.
⁵ N/A for NONE
 A. Activities allowed or unallowed
 B. Allowable costs/cost principles
 C. Cash management
 D. Davis-Bacon Act
 E. Eligibility
 F. Equipment and real property management
 G. Matching level of effort/cost sharing
 H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR		10. AUDIT FINDINGS						
Federal Agency Prefix ¹	CFDA Number	Research and development	Name of Federal program	Amount expended	Direct award	Major program	Type(s) of compliance requirement(s) ⁴	Audit finding reference number(s) ⁵
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(a)	(b)
1 2	UNKNOWN	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	US NAVY TREASURE ISLAND COOPERATIVE AGREEMENT	\$ 1,161,247.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.218	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMMUNITY DEVELOPMENT BLOCK GRANTS/TITLEMENT GRANTS	\$ 23,024,278.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	O	N/A
1 4	.231	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	EMERGENCY SHELTER GRANTS PROGRAM	\$ 1,002,908.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.235	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SUPPORTIVE HOUSING PROGRAM	\$ 7,250,007.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.238	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SHELTER PLUS CARE	\$ 5,436,516.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.239	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HOME INVESTMENT PARTNERSHIP PROGRAM	\$ 89,650,022.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.246	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMMUNITY DEVELOPMENT BLOCK GRANTS/BROWNFIELDS ECONOMIC DEVELOPMENT INITIA	\$ 645,588.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.248	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMMUNITY DEVELOPMENT BLOCK GRANTS-SECTION 108 LOAN GUARANTEES	\$ 1,485,756.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.251	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ECONOMIC DEVELOPMENT INITIATIVE-SPECIAL PROJECT, NEIGHBORHOOD INITIATIVE A	\$ 388,640.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
1 4	.900	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	LEAD BASED PAINT HAZARD CONTROL IN PRIVATELY-OWNED HOUSING	\$ 1,279,215.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00				

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See instructions)
³ If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed
 B. Allowable costs/cost principles
 C. Cash management
 D. Davis - Bacon Act
 E. Eligibility
 F. Equipment and real property management
 G. Matching level of effort, earmarking
 H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other
⁵ N/A for NONE

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR

CFDA Number		Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)	Major program if yes, type of audit report 3 (h)	Type(s) of compliance requirement(s) 4 (a)	Audit finding reference number(s) 5 (b)
Federal Agency Prefix 1 (a)	Extension 2 (b)	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
1 5	.530	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	WATER CONSERVATION FIELD SERVICES PROGRAM	\$ 89,524.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 5	.916	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	OUTDOOR RECREATION ACQUISITION, DEVELOPMENT, AND PLANNING	\$ 87,345.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	UNKNOWN	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FEDERAL NARCOTICS FORFEITURE AND ASSET SEIZURE	\$ 344,667.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.203	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMPREHENSIVE APPROACHES TO SEX OFFENDER MANAGEMENT DISCRETIONARY GRANT (C)	\$ 69,415.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.527	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SUPERVISED VISITATIONS, SAFE HAVENS FOR CHILDREN	\$ 18,973.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.541	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PART E - DEVELOPING, TESTING AND DEMONSTRATING PROMISING NEW PROGRAMS	\$ 243,775.60	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.560	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NATIONAL INSTITUTE OF JUSTICE RESEARCH, EVALUATION, AND DEVELOPMENT PROJEC	\$ 109,145.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.580	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	EDWARD BYRNE MEMORIAL STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE DISCRETIO	\$ 1,224,527.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.595	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMMUNITY CAPACITY DEVELOPMENT OFFICE	\$ 213,634.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
1 6	.606	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	STATE CRIMINAL ALIEN ASSISTANCE PROGRAM	\$ 1,081,941.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00					

1 See Appendix 1. of instructions for valid Federal Agency two-digit prefixes.

2 Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)

3 If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.

4 Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.

- A. Activities allowed or unallowed
- B. Allowable costs/cost principles
- C. Cash management
- D. Davis - Bacon Act
- E. Eligibility
- F. Equipment and real property management
- G. Matching level of effort, earmarking
- H. Period of availability of Federal funds
- I. Procurement and suspension and debarment
- J. Program income
- K. Real property acquisition and relocation assistance
- L. Reporting
- M. Subrecipient monitoring
- N. Special tests and provisions
- O. None
- P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR		10. AUDIT FINDINGS							
CFDA Number Federal Agency Prefix ¹	Extension ² (b)	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)	If yes, type of audit report ³ (h)	Type(s) of compliance requirement(s) ⁴ (a)	Audit finding reference number(s) ⁵ (b)
1 6	.607	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	BULLETPROOF VEST PARTNERSHIP GRANT	\$ 124,564.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.710	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PUBLIC SAFETY PARTNERSHIP AND COMMUNITY POLICING GRANTS	\$ 1,572,502.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.737	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	GANG RESISTANCE EDUCATION AND TRAINING	\$ 377,660.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.738	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT PROGRAM	\$ 853,915.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.575	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CRIME VICTIM ASSISTANCE	\$ 471,141.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.588	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	VIOLENCE AGAINST WOMEN FORMULA GRANTS	\$ 345,224.60	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.609	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMMUNITY PROSECUTION AND PROJECT SAFE NEIGHBORHOODS	\$ 135,024.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.738	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	EDWARD BYRNE MEMORIAL JUSTICE ASSISTANCE GRANT PROGRAM	\$ 398,288.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.744	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ANTI GANG INITIATIVE	\$ 260,439.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.523	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	JUVENILE ACCOUNTABILITY BLOCK GRANTS	\$ 106,553.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00					

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
³ If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed
 B. Allowable costs/cost principles
 C. Cash management
 D. Davis - Bacon Act
 E. Eligibility
 F. Equipment and real property management
 G. Matching level of effort/earmarking
 H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other
⁵ N/A for NONE

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR

CFDA Number Federal Agency Prefix ¹	Extension ² (b)	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)		Major program (g)		If yes, type of audit report ³ (h)	10. AUDIT FINDINGS	
					1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		Type(s) of compliance requirement(s) ⁴ (a)	Audit finding reference number(s) ⁵ (b)
1 6	.540	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	JUVENILE JUSTICE AND DELINQUENCY PREVENTION-ALLOCATION TO STATES	\$ 28,620.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.589	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	RURAL DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, AND STALKING ASS.	\$ 7,992.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 6	.541	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PART E - DEVELOPING, TESTING AND DEMONSTRATING PROMISING NEW PROGRAMS	\$ 21,955.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 7	.720	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	DISABILITY EMPLOYMENT POLICY DEVELOPMENT	\$ 294,379.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
1 7	.258	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	WIA ADULT PROGRAM	\$ 1,673,900.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	0	N/A
1 7	.259	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	WIA YOUTH ACTIVITIES	\$ 1,399,976.60	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	0	N/A
1 7	.260	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	WIA DISLOCATED WORKERS	\$ 2,016,908.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	0	N/A
2 0	.106	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	AIRPORT IMPROVEMENT PROGRAM	\$ 39,579,474.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	0	N/A
2 0	.500	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FEDERAL TRANSIT-CAPITAL INVESTMENT GRANTS	\$ 28,385,394.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	0	N/A
2 0	.507	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FEDERAL TRANSIT-FORMULA GRANTS	\$ 35,008,588.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	0	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00							

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
³ If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed E. Eligibility
 B. Allowable costs/cost principles F. Equipment and real property management
 C. Cash management G. Matching, level of effort, earmarking
 D. Davis-Bacon Act H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other
⁵ N/A for NONE

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR				10. AUDIT FINDINGS					
Federal Agency Prefix ¹	CFDA Number Extension ²	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)	Major program (h)	Type(s) of compliance requirement(s) ⁴	Audit finding reference number(s) ⁵
(a)	(b)	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	If yes, type of audit report ³	(a)	(b)
2 0	.600	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	STATE AND COMMUNITY HIGHWAY SAFETY	\$ 9,379.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
2 0	.931	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	TRANSPORTATION, PLANNING, RESEARCH AND EDUCATION	\$ 85,052.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
2 0	.205	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HIGHWAY PLANNING AND CONSTRUCTION	\$ 10,213,500.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
2 0	.600	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	STATE AND COMMUNITY HIGHWAY SAFETY	\$ 766,205.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
3 9	.UNKNOWN	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	RADIO COMMUNICATION SYSTEM REPLACEMENT	\$ 181,802.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
4 5	.310	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	GRANTS TO STATES	\$ 6,759.60	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
6 6	.034	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SURVEYS, STUDIES, INVESTIGATIONS, DEMONSTRATIONS AND SPECIAL PURPOSE ACTIV	\$ 16,198.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
6 6	.472	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	BEACH MONITORING AND NOTIFICATION PROGRAM IMPLEMENTATION GRANTS	\$ 23,955.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
6 6	.805	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	LEAKING UNDERGROUND STORAGE TANK TRUST FUND PROGRAM	\$ 436,532.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
8 1	.117	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ENERGY EFFICIENCY AND RENEWABLE ENERGY INFORMATION DISSEMINATION, OUTREACH	\$ 947.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00					

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.

² On other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)

³ If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.

⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.

- A. Activities allowed or unallowed
- B. Allowable costs/cost principles
- C. Cash management
- D. Davis-Bacon Act
- E. Eligibility
- F. Equipment and real property management
- G. Matching, level of effort, earmarking
- H. Period of availability of Federal funds
- I. Procurement and suspension and debarment
- J. Program income
- K. Real property acquisition and relocation assistance
- L. Reporting
- M. Subrecipient monitoring
- N. Special tests and provisions
- O. None
- P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR

Federal Agency Prefix ¹	CFDA Number ²	Extension ²	Research and development ³	Name of Federal program ⁴	Amount expended ⁵	Direct award ⁶	Major program ⁷		Type(s) of compliance requirement(s) ⁴	Audit finding reference number(s) ⁵
							Major program	If yes, type of audit report ³		
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	
8 4	.255	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	LITERACY PROGRAMS FOR PRISONERS	\$ 178,359.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 0	.401	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HELP AMERICAN VOTE-ACT REQUIREMENTS PAYMENTS	\$ 5,494,344.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.006	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	STATE AND TERRITORIAL & TECHNICAL ASSISTANCE CAPACITY DEVELOPMENT - MINOR	\$ 282,134.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.104	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COMPREHENSIVE COMMUNITY MENTAL HEALTH SERVICES FOR CHILDREN WITH SERIOUS E	\$ 919,397.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.116	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PROJECT GRANTS AND COOPERATIVE AGREEMENTS FOR TUBERCULOSIS CONTROL PROGRAM	\$ 2,957,834.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	O	N/A	
9 3	.136	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	INJURY PREVENTION AND CONTROL RESEARCH AND STATE AND COMMUNITY BASED PROGRAM	\$ 20,245.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.230	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CONSOLIDATED KNOWLEDGE DEVELOPMENT AND APPLICATION (KD&A) PROGRAM	\$ 229,321.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.242	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	MENTAL HEALTH RESEARCH GRANTS	\$ 425,603.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.243	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES-PROJECTS OF REGIONAL AND NATION	\$ 753,522.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
9 3	.262	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	OCCUPATIONAL SAFETY AND HEALTH PROGRAM	\$ 257,883.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A	
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00						

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.

² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See instructions)

³ If major program is marked "yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "no," leave the type of audit report box blank.

⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(e)) reported for each Federal program.

- ⁵ N/A for NONE
- A. Activities allowed or unallowed
 - B. Allowable costs/cost principles
 - C. Cash management
 - D. Davis - Bacon Act
 - E. Eligibility
 - F. Equipment and real property management
 - G. Matching level of effort, earmarking
 - H. Period of availability of Federal funds
 - I. Procurement and suspension and debarment
 - J. Program income
 - K. Real property acquisition and relocation assistance
 - L. Reporting
 - M. Subrecipient monitoring
 - N. Special tests and provisions
 - O. None
 - P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR			10. AUDIT FINDINGS						
Federal Agency Prefix ¹	CFDA Number	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)	Major program (h)	Type(s) of compliance requirement(s) ⁴ (a)	Audit finding reference number(s) ⁵ (b)
(a)	(b)	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	(c)	(e)	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	(a)	(b)
9 3	.276	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	DRUG FREE COMMUNITIES SUPPORT PROGRAM	\$ 36,283.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.279	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	DRUG ABUSE AND ADDICTION RESEARCH PROGRAMS	\$ 224,587.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.779	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CENTERS FOR MEDICARE SERVICES, RESEARCH, AND MEDICAID SERVICES (CMS), RESE	\$ 14,076.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.865	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CHILD HEALTH AND HUMAN DEVELOPMENT EXTRAMURAL RESEARCH	\$ 30,185.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.889	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NATIONAL BIOTERRORISM HOSPITAL PREPAREDNESS PROGRAM	\$ 3,055.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	O	N/A
9 3	.914	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HIV EMERGENCY RELIEF PROJECT GRANTS	\$ 22,889,896.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.918	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	GRANTS TO PROVIDE OUTPATIENT EARLY INTERVENTION SERVICES WITH RESPECT TO H	\$ 419,727.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.940	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HIV PREVENTION ACTIVITIES - HEALTH DEPARTMENT BASED	\$ 9,207,841.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.944	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNODEFICIENCY VIRUS SYNDROM	\$ 2,166,209.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	.945	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ASSISTANCE PROGRAMS FOR CHRONIC DISEASE PREVENTION AND CONTROL	\$ 418,827.00	1 <input checked="" type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00					

1. See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
 2. Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions).
 3. If major program is marked "yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
 4. Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed
 B. Allowable costs/cost principles
 C. Cash management
 D. Davis - Bacon Act
 E. Eligibility
 F. Equipment and real property management
 G. Matching level of effort, earmarking
 H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other
 5. N/A for NONE

Primary EIN: 9 4 - 6 0 0 0 4 1 7

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR				10. AUDIT FINDINGS				
Federal Agency Prefix ¹	CFDA Number	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)	If yes, type of audit report ³ (h)	Type(s) of compliance requirement(s) ⁴ (a)	Audit finding reference number(s) ⁵ (b)
(a)	(b)	(d)	(e)	(f)	(g)	(h)	(a)	(b)
9 3	977	PREVENTIVE HEALTH SERVICES - SEXUALLY TRANSMITTED DISEASES CONTROL GRANTS	\$ 2,006,093.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	118	ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS) ACTIVITY	\$ 36,986.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	224	CONSOLIDATED HEALTH CENTERS	\$ 673,581.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	969	GERIATRIC EDUCATION CENTERS	\$ 7,500.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	041	SPECIAL PROGRAMS FOR THE AGING-TITLE VII CHAPTER 3-PROGRAMS FOR PREVENTION	\$ 15,255.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	042	SPECIAL PROGRAMS FOR THE AGING-TITLE VII CHAPTER 2-LONG TERM CARE OMBUDSMAN	\$ 32,358.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	043	SPECIAL PROGRAMS FOR THE AGING TITLE III, PART D-DISEASE PREVENTION AND HE	\$ 65,797.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	052	NATIONAL FAMILY CAREGIVER SUPPORT TITLE III, PART E	\$ 437,983.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A
9 3	044	SPECIAL PROGRAMS FOR THE AGING-TITLE III, PART B-GRANTS FOR SUPPORTIVE SER	\$ 1,072,187.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	O	N/A
9 3	045	SPECIAL PROGRAMS FOR THE AGING-TITLE III, PART C-NUTRITION SERVICES	\$ 1,479,683.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U	O	N/A
TOTAL FEDERAL AWARDS EXPENDED			\$ 601,187,853.00					

1 See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
 2 Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
 3 If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
 4 Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed E. Eligibility
 B. Allowable costs/cost principles F. Equipment and real property management
 C. Cash management G. Matching level of effort, earmarking
 D. Davis - Bacon Act H. Period of availability of Federal funds
 5 N/A for NONE
 I. Procurement and suspension
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR				10. AUDIT FINDINGS				
Federal Agency Prefix ¹	CFDA Number	Research and development	Name of Federal program	Amount expended	Direct award	Major program	Type(s) of compliance requirement(s) ⁴	Audit finding reference number(s) ⁵
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(a)	(b)
9 3	.053	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NUTRITION SERVICES INCENTIVE PROGRAM	\$ 1,017,977.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	O	N/A
9 3	.779	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CENTERS FOR MEDICARE SERVICES, RESEARCH, AND MEDICAID SERVICES (CMS), RESE	\$ 67,428.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.153	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	COORDINATED SERVICES AND ACCESS TO RESEARCH FOR WOMEN, INFANTS, CHILDREN, A	\$ 116,496.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.268	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	IMMUNIZATION GRANTS	\$ 512,549.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.283	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CENTER FOR DISEASE CONTROL AND PREVENTION INVESTIGATIONS AND TECHNICAL ASS	\$ 1,371,367.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.917	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HIV CARE FORMULA GRANTS	\$ 2,416,926.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.928	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SPECIAL PROJECT OF NATIONAL SIGNIFICANCE	\$ 224,876.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.941	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HIV DEMONSTRATION, RESEARCH, PUBLIC AND PROFESSIONAL EDUCATION PROJECTS	\$ 217,225.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.943	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	EPIDEMIOLOGIC RESEARCH STUDIES OF ACQUIRED IMMUNODEFICIENCY SYNDROME (AIDS)	\$ 214,699.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
9 3	.889	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NATIONAL BIOTERRORISM HOSPITAL PREPAREDNESS PROGRAM	\$ 475,509.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	O	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00				

1 See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
 2 Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
 3 If major program is marked "Yes," enter only one letter (U = Unqualified opinion, G = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
 4 Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(e)), reported for each Federal program.
 5 N/A for NONE

A. Activities allowed or unallowed
 B. Allowable costs/cost principles
 C. Cost management
 D. Davis - Bacon Act
 E. Eligibility
 F. Equipment and real property management
 G. Matching level of effort, earmarking
 H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR		10. AUDIT FINDINGS							
CFDA Number Federal Agency Prefix/ Extension 2 (a)	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)		Major program (g)		Type(s) of compliance requirement(s) ⁴ (a)	Audit finding reference number(s) ⁵ (b)
				1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		
9 3 - 991	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PREVENTIVE HEALTH AND HEALTH SERVICES BLOCK GRANT	\$ 1,515,046.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	U			N/A
9 3 - 994	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	MATERNAL AND CHILD HEALTH SERVICES BLOCK GRANT TO THE STATES	\$ 1,405,268.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
9 3 - 556	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PROMOTING SAFE AND STABLE FAMILIES	\$ 341,262.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
9 3 - 558	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	TEMPORARY ASSISTANCE FOR NEEDY FAMILIES	\$ 62,507,375.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U			N/A
9 3 - 566	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	REFUGEE AND ENTRANT ASSISTANCE-STATE ADMINISTERED PROGRAMS	\$ 434,934.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
9 3 - 576	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	REFUGEE AND ENTRANT ASSISTANCE-DISCRETIONARY GRANTS	\$ 88,656.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
9 3 - 645	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CHILD WELFARE SERVICES-STATE GRANTS	\$ 1,529,988.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
9 3 - 658	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FOSTER CARE-TITLE IV-E	\$ 36,251,912.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
9 3 - 659	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ADOPTION ASSISTANCE	\$ 8,401,745.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	U			N/A
9 3 - 674	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CHAFEE FOSTER CARE INDEPENDENCE PROGRAM	\$ 570,088.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No				N/A
TOTAL FEDERAL AWARDS EXPENDED			\$ 601,187,853.00						

1 See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
 2 Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
 3 If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion), corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
 4 Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance; significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 5 N/A for NONE

- A. Activities allowed or unallowed
- B. Allowable costs/cost principles
- C. Cash management
- D. Davis - Bacon Act
- E. Eligibility
- F. Equipment and real property management
- G. Matching level of effort, earmarking
- H. Period of availability of Federal funds
- I. Procurement and suspension and debarment
- J. Program income
- K. Real property, acquisition and relocation assistance
- L. Reporting
- M. Subrecipient monitoring
- N. Special tests and provisions
- O. None
- P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR		10. AUDIT FINDINGS							
Federal Agency Prefix ¹	CFDA Number Extension ²	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)	Major program (g)	If yes, type of audit report ³ (h)	Type(s) of compliance requirement(s) ⁴ (i)	Audit finding reference number(s) ⁵ (j)
9 3	. 778	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	MEDICAL ASSISTANCE PROGRAM	\$ 37,486,682.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 563	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CHILD SUPPORT ENFORCEMENT	\$ 9,688,518.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 575	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CHILD CARE AND DEVELOPMENT BLOCK GRANT	\$ 964,577.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 596	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	CHILD CARE MANDATORY AND MATCHING FUNDS OF THE CHILD CARE AND DEVELOPMENT	\$ 110,693.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 150	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PROJECT FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS (PATH)	\$ 446,201.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 958	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	BLOCK GRANTS FOR COMMUNITY MENTAL HEALTH SERVICES	\$ 2,184,641.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 959	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	BLOCK GRANTS FOR PREVENTION AND TREATMENT OF SUBSTANCE ABUSE	\$ 9,579,338.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 217	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FAMILY PLANNING SERVICES	\$ 288,116.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 242	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	MENTAL HEALTH RESEARCH GRANTS	\$ 221,546.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
9 3	. 855	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ALLERGY, IMMUNOLOGY AND TRANSPLANTATION RESEARCH	\$ 680,044.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		0	N/A
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00					

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
³ If major program is marked "Yes," enter only one letter (U = Unqualified opinion, Q = Qualified opinion, A = Adverse opinion, D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
⁵ N/A for NONE

A. Activities allowed or unallowed
 B. Allowable costs/cost principles
 C. Cash management
 D. Davis - Bacon Act
 E. Eligibility
 F. Equipment and real property management
 G. Matching level of effort, earmarking
 H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting and debarment
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR		10. AUDIT FINDINGS									
Federal Agency Prefix ¹	CFDA Number	Research and development	Name of Federal program	Amount expended	Direct award	Major program		Type(s) of compliance requirement(s) ⁴	Audit finding reference number(s) ⁵		
						Major program	If yes, type of audit report ³				
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(a)	(b)		
9 3	.856	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	MICROBIOLOGY AND INFECTIOUS DISEASES RESEARCH	\$ 119,182.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 4	.006	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	AMERICORPS	\$ 70,456.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 6	.007	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	SOCIAL SECURITY RESEARCH AND DEMONSTRATION	\$ 91,244.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.044	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	ASSISTANCE TO FIREFIGHTERS GRANT	\$ 43,916.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.072	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NATIONAL EXPLOSIVE DETECTION CANINE TEAM PROGRAM	\$ 849,124.00	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.042	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	EMERGENCY MANAGEMENT PERFORMANCE GRANTS	\$ 162,499.60	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.067	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HOMELAND SECURITY GRANT PROGRAM	\$ 33,221,496.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.075	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	RAIL AND TRANSIT SECURITY GRANT PROGRAM	\$ 1,854,641.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.078	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	BUFFER ZONE PROTECTION PLAN	\$ 805,727.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
9 7	.017	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	PRE-DISASTER MITIGATION (PDM) COMPETITIVE GRANTS	\$ 1,196,760.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		O	N/A		
TOTAL FEDERAL AWARDS EXPENDED				\$ 601,187,853.00							

¹ See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
² Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
³ If major program is marked "Yes," enter only one letter (U = Unqualified opinion; Q = Qualified opinion; A = Adverse opinion; D = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
⁴ Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed E. Eligibility
 B. Allowable costs/cost principles F. Equipment and real property management
 C. Cash management G. Matching level of effort, earmarking
 D. Davis-Bacon Act H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other
⁵ N/A for NONE

PART III FEDERAL PROGRAMS - Continued

9. FEDERAL AWARDS EXPENDED DURING FISCAL YEAR

CFDA Number	Federal Agency Prefix 1	Extension 2 (b)	Research and development (c)	Name of Federal program (d)	Amount expended (e)	Direct award (f)		Major program (g)		If yes, type of audit report 3 (h)	10. AUDIT FINDINGS	
						1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		Type(s) of compliance requirement(s) 4 (a)	Audit finding reference number(s) 5 (b)
9 7	7	036	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	DISASTER GRANTS - PUBLIC ASSISTANCE (PRESIDENTIALLY DECLARED DISASTERS)	\$ 59,395.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
9 7	7	039	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	HAZARD MITIGATION GRANT PROGRAM	\$ 1,150,915.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input checked="" type="checkbox"/> Yes 2 <input type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	U		N/A
9 7	7	046	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	FIRE MANAGEMENT ASSISTANCE GRANT	\$ 34,643.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			N/A
9 7	7	072	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	NATIONAL EXPLOSIVE DETECTION CANINE TEAM PROGRAM	\$ 230,932.00	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			N/A
<p>PROGRAM</p> <div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto; border-radius: 50%; opacity: 0.5;"></div>												
			1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		\$	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
			1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		\$	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
			1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		\$	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
			1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		\$	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
			1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No		\$	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No	1 <input type="checkbox"/> Yes 2 <input checked="" type="checkbox"/> No			
TOTAL FEDERAL AWARDS EXPENDED					\$ 601,187,853.00							

1 See Appendix 1 of instructions for valid Federal Agency two-digit prefixes.
 2 Or other identifying number when the Catalog of Federal Domestic Assistance (CFDA) number is not available. (See Instructions)
 3 If major program is marked "Yes," enter only one letter: (U) = Unqualified opinion, (Q) = Qualified opinion, (A) = Adverse opinion, (D) = Disclaimer of opinion) corresponding to the type of audit report in the adjacent box. If major program is marked "No," leave the type of audit report box blank.
 4 Enter the letter(s) of all type(s) of compliance requirement(s) that apply to audit findings (i.e., noncompliance, significant deficiency (including material weaknesses), questioned costs, fraud, and other items reported under § 510(a)) reported for each Federal program.
 A. Activities allowed or unallowed E. Eligibility
 B. Allowable costs/cost principles F. Equipment and real property management
 C. Cash management G. Matching level of effort, earmarking
 D. Davis - Bacon Act H. Period of availability of Federal funds
 I. Procurement and suspension and debarment
 J. Program income
 K. Real property acquisition and relocation assistance
 L. Reporting
 M. Subrecipient monitoring
 N. Special tests and provisions
 O. None
 P. Other
 5 N/A for NONE

PART I Item 5 Continuation Sheet

k. List the multiple DUNS covered in the report.

c. List the multiple Employer Identification Numbers (EINs) covered in this report.

1	N/A	21	-	-	41	-	1	0	3	-	8	8	5	-	6	8	4	5	21	-	-	-
2	-	22	-	-	42	-	2	0	4	-	6	0	0	-	4	0	8	1	22	-	-	-
3	-	23	-	-	43	-	3	9	5	-	6	6	1	-	7	4	3	5	23	-	-	-
4	-	24	-	-	44	-	4	0	5	-	5	3	0	-	5	8	2	0	24	-	-	-
5	-	25	-	-	45	-	5	0	7	-	0	3	8	-	4	2	5	3	25	-	-	-
6	-	26	-	-	46	-	6	1	0	-	3	7	1	-	7	3	3	6	26	-	-	-
7	-	27	-	-	47	-	7	1	8	-	5	1	2	-	8	2	4	6	27	-	-	-
8	-	28	-	-	48	-	8	1	2	-	0	8	0	-	2	9	8	3	28	-	-	-
9	-	29	-	-	49	-	9	1	4	-	3	6	0	-	2	1	0	5	29	-	-	-
10	-	30	-	-	50	-	10	1	5	-	5	4	4	-	0	8	2	9	30	-	-	-
11	-	31	-	-	51	-	11	-	-	-	-	-	-	-	-	-	-	-	31	-	-	-
12	-	32	-	-	52	-	12	-	-	-	-	-	-	-	-	-	-	-	32	-	-	-
13	-	33	-	-	53	-	13	-	-	-	-	-	-	-	-	-	-	-	33	-	-	-
14	-	34	-	-	54	-	14	-	-	-	-	-	-	-	-	-	-	-	34	-	-	-
15	-	35	-	-	55	-	15	-	-	-	-	-	-	-	-	-	-	-	35	-	-	-
16	-	36	-	-	56	-	16	-	-	-	-	-	-	-	-	-	-	-	36	-	-	-
17	-	37	-	-	57	-	17	-	-	-	-	-	-	-	-	-	-	-	37	-	-	-
18	-	38	-	-	58	-	18	-	-	-	-	-	-	-	-	-	-	-	38	-	-	-
19	-	39	-	-	59	-	19	-	-	-	-	-	-	-	-	-	-	-	39	-	-	-
20	-	40	-	-	60	-	20	-	-	-	-	-	-	-	-	-	-	-	40	-	-	-

PART I GENERAL INFORMATION - Continued

8. Part I, Item 8, Secondary Auditor's Contact Information. (List the Secondary Auditor's Contact information)

<p>1. a. Secondary Auditor name N / A</p>		<p>2. a. Secondary Auditor name</p>		<p>3. a. Secondary Auditor name</p>	
<p>b. Secondary Auditor address (Number and street)</p>		<p>b. Secondary Auditor address (Number and street)</p>		<p>b. Secondary Auditor address (Number and street)</p>	
<p>City</p>		<p>City</p>		<p>City</p>	
<p>State ZIP + 4 Code</p>		<p>State ZIP + 4 Code</p>		<p>State ZIP + 4 Code</p>	
<p>c. Secondary Auditor contact Name</p>		<p>c. Secondary Auditor contact Name</p>		<p>c. Secondary Auditor contact Name</p>	
<p>Title</p>		<p>Title</p>		<p>Title</p>	
<p>d. Secondary Auditor contact telephone</p>		<p>d. Secondary Auditor contact telephone</p>		<p>d. Secondary Auditor contact telephone</p>	
<p>e. Secondary Auditor contact FAX</p>		<p>e. Secondary Auditor contact FAX</p>		<p>e. Secondary Auditor contact FAX</p>	
<p>f. Secondary Auditor contact E-mail</p>		<p>f. Secondary Auditor contact E-mail</p>		<p>f. Secondary Auditor contact E-mail</p>	
<p>4. a. Secondary Auditor name</p>		<p>5. a. Secondary Auditor name</p>		<p>6. a. Secondary Auditor name</p>	
<p>b. Secondary Auditor address (Number and street)</p>		<p>b. Secondary Auditor address (Number and street)</p>		<p>b. Secondary Auditor address (Number and street)</p>	
<p>City</p>		<p>City</p>		<p>City</p>	
<p>State ZIP + 4 Code</p>		<p>State ZIP + 4 Code</p>		<p>State ZIP + 4 Code</p>	
<p>c. Secondary Auditor contact Name</p>		<p>c. Secondary Auditor contact Name</p>		<p>c. Secondary Auditor contact Name</p>	
<p>Title</p>		<p>Title</p>		<p>Title</p>	
<p>d. Secondary Auditor contact telephone</p>		<p>d. Secondary Auditor contact telephone</p>		<p>d. Secondary Auditor contact telephone</p>	
<p>e. Secondary Auditor contact FAX</p>		<p>e. Secondary Auditor contact FAX</p>		<p>e. Secondary Auditor contact FAX</p>	
<p>f. Secondary Auditor contact E-mail</p>		<p>f. Secondary Auditor contact E-mail</p>		<p>f. Secondary Auditor contact E-mail</p>	

Estimated Federal Stimulus Funding to City and County of San Francisco w/o SFUSD-Full Allocation

Department	(Note A)	Federal Funding	Federal Funding	Federal Funding	Estimated Annual Indirect Costs,	Estimated Annual Indirect Costs,	Estimated Annual Indirect Costs,
		first fiscal year	second fiscal year	Third Fiscal Year	08/09	09/10	10/11
		<i>Assuming no yr. 1 except as provided in note B</i>	<i>Assuming all yr. 2 except as provided in note B</i>	<i>From Note B</i>	<i>Assuming 2 mos.</i>		
Formula Funding		0.0000	1.0000				
SFMTA		0.00	67.00		0	90,651	0
SF Housing Authority		0.00	17.00		0	23,001	0
Dept of Public Works		0.00	11.34		0	15,343	0
Mayor's Office of Housing		0.00	3.00		0	4,059	0
Mayor's Office of Housing/Office of Economic and Workforce Development		0.00	5.70		0	7,712	0
Mayor's Office of Community Investment (likely administered through Human Services Agency)		0.00	8.70		0	11,771	0
Citywide (PUC likely to administer)		0.00	7.70		0	10,418	0
Human Services Agency		0.00	0.24		0	325	0
Human Services Agency	(Note B)	12.20	18.40	4.30	24,913	24,895	98,401
Dept. of Public Health	(Note B)	21.80	27.90	13.90	44,516	37,749	318,088
Dept. of Public Health		0.00	0.29		0	387	0
Dept. of Public Health		0.00	3.00		0	4,059	0
Mayor's Office of Econ and Workforce Development		0.00	1.10		0	1,488	0
Mayor's Office of Econ and Workforce Development		0.00	2.70		0	3,659	0
Mayor's Office of Econ and Workforce Development		0.00	2.30		0	3,112	0
Airport		0.00	5.50		0	7,442	0
Airport		0.00	15.60		0	21,107	0
Total Formula Funding		\$34.00	\$197.47	\$18.20	\$69,429	\$267,172	\$416,489
Competitive Grant Applications Submitted							
Dept on the Status of Women		0.00	0.50		0	677	0
Port		0.00	3.26		0	4,411	0
SPED		0.00	89.00		0	120,417	0
Arts Commission		0.00	0.25		0	338	0
Port/BAE		0.00	5.80		0	7,847	0
MOEWD		0.00	0.50		0	677	0
Port		0.00	1.80		0	2,435	0
Port		0.00	2.25		0	3,044	0
MOCI Category 1		0.00	1.00		0	1,353	0

Estimated Federal Stimulus Funding to		City and County of San Francisco w/o SFUSD-Limited			Allocation		
Department	(Note A)	Federal Funding first fiscal year <i>Assuming no yr. 1 except as provided in note B</i>	Federal Funding second fiscal year <i>Assuming all yr. 2 except as provided in note B</i>	Federal Funding Third Fiscal Year <i>From Note B</i>	Estimated Annual Indirect Costs, 08/09 <i>Assuming 2 mos.</i>	Estimated Annual Indirect Costs, 09/10	Estimated Annual Indirect Costs, 10/11
Formula Funding		0.0000	1.0000				
SFMTA		0.00	67.00		0	164,121	0
SF Housing Authority		0.00	17.00		0	41,643	0
Dept of Public Works		0.00	11.34		0	27,778	0
Mayor's Office of Housing		0.00	3.00		0	7,349	0
Mayor's Office of Housing/Office of Economic and Workforce Development		0.00	5.70		0	13,963	0
Mayor's Office of Community Investment (likely administered through Human Services Agency)		0.00	8.70		0	21,311	0
Citywide (PUC likely to administer)		0.00	7.70		0	18,862	0
Human Services Agency	(Note C)	0.00	0.24		0	0	0
Human Services Agency	(Note B)	12.20	18.40	4.30	24,913	45,072	98,401
Dept. of Public Health	(Note B)	21.80	27.90	13.90	44,516	68,343	318,088
Dept. of Public Health		0.00	0.29		0	700	0
Dept. of Public Health		0.00	3.00		0	7,349	0
Mayor's Office of Economic and Workforce Develop.	(Note C)	0.00	1.10		0	0	0
Mayor's Office of Economic and Workforce Develop.	(Note C)	0.00	2.70		0	0	0
Mayor's Office of Economic and Workforce Develop.	(Note C)	0.00	2.30		0	0	0
Airport	(Note C)	0.00	5.50		0	0	0
Airport	(Note C)	0.00	15.60		0	0	0
Total Formula Funding		\$34.00	\$197.47	\$18.20	\$69,429	\$416,489	\$416,489
Formula Funding that Allows Indirect or Admin.			\$170.03				
Competitive Grant Applications Submitted							
Dept on the Status of Women	(Note C)	0.00	0.50		0	0	0
Port	(Note C)	0.00	3.26		0	0	0
SPED	(Note C)	0.00	89.00		0	0	0
Arts Commission	(Note C)	0.00	0.25		0	0	0
Port/BAE	(Note C)	0.00	5.80		0	0	0
MOEWD	(Note C)	0.00	0.50		0	0	0
Port	(Note C)	0.00	1.80		0	0	0
Port	(Note C)	0.00	2.25		0	0	0
MOCI Category 1	(Note C)	0.00	1.00		0	0	0
Category 2	(Note C)	0.00	1.00		0	0	0
Category 3	(Note C)	0.00	1.00		0	0	0
category 4	(Note C)	0.00	1.00		0	0	0
Category 5	(Note C)	0.00	1.00		0	0	0
Category 6	(Note C)	0.00	1.00		0	0	0
Category 7	(Note C)	0.00	1.00		0	0	0
Total Competitive Funding		\$0.00	\$110.36	\$0.00	\$0	\$0	\$0
Total Formula and Competitive		\$34.00	\$307.83	\$18.20	\$69,429	\$416,489	\$416,489
(Indirect as a % of Federal Funding each year)					0.0020	0.0014	0.0229
Annual Incremental Indirect Costs (Indirect Costs tab)					\$69,429	\$416,489	\$416,489

Note A: Federal Funding in millions, Estimated indirect costs are not

Note B: Human Services Agency and Public Health Grant have known funding amounts per year over 3 fiscal years

Note C: No Indirect Costs allocated based on information received from Kyri, Fred (AOSD) and Ken Bukowski (SFPD)

Federal Stimulus Competitive Funding to City and County of San Francisco (\$ in Millions)

Department	Federal Agency/Program	City Program/Project	Federal Funding	Maximum Possible Offset of General Fund \$	Capital/Operati
Competitive Grant Applications Submitted					
Dept on the Status of Women	U.S. Department of Justice	Transitional Housing	0.50	?	Operating
Port	NOAA	Pier repairs	3.26	0.00	Capital
SPED	U.S. Department of Justice	COPS Grant	89.00	89.00	Operating
Arts Commission	National Endowment for Art	Arts Commission	0.25	?	Operating
Port/BAE	DOT/MARAD	Drydock repairs	5.80	0.00	Capital
MOEWD	E.P.A.	Citybuild training	0.50	0.00	Operating
Port	State Water Resources Control board	Pier 45 utility infrastructure	1.80	0.00	Capital
Port	DOE & CEC - Shoreside Power - w/CA ports, joint applications		2.25	0.00	
MOCI Category 1	DOJ - JAG/Byrne competitive				
Category 2	DOJ - JAG/Byrne competitive				
Category 3	DOJ - JAG/Byrne competitive				
Category 4	DOJ - JAG/Byrne competitive				
Category 5	DOJ - JAG/Byrne competitive				
Category 6	DOJ - JAG/Byrne competitive				
Category 7	DOJ - JAG/Byrne competitive				

Notes

uses of police officers
improvements to dry dock facility
winfields job training
funding is confirmed, and is a
 Julius source but coming via a
 riously awarded state grant
 it was defunded and now
 ndered with ARRA dollars)

American Recovery & Reinvestment Act

Indirect Costs to be Allocated

Dept.			Annual Wages at Step 3	Benefits at 30%	Total
CON	1956	Senior Purchaser	85,904	25,771	111,675
GSA	1654	Principal Accountant	80,626	24,188	<u>104,814</u>
		Total Positions			<u>216,489</u>
CON	08105	Workorder: DT			100,000
CON	03500	Single Audit			<u>100,000</u>
		Total Indirect Expenditures Estimated			<u>416,489</u>

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

I. INTRODUCTION

The development of an Indirect Cost Plan for the Department of Public Works is conceptually based on a 1978 procedures manual titled "City and County of San Francisco Wastewater Management Program Indirect Cost Rate Proposal" prepared by Touche Ross & Company. Consistent with the changes made in 1990-91, the 2008-09 Indirect Cost Plan bases the estimate for Paid Time Off on actuals rather than accruals.

Mandatory fringe benefits (MFB) are now based on actual rates as calculated by the Controller's Office. Each budgeted position has its own MFB rate based on the particular Memorandum of Understanding negotiated by its union. Section IV, page 4, column 2 shows an average per bureau. In 1995-96 and prior fiscal years this rate was calculated and the Indirect Cost Plan used one rate for all the Bureaus.

II. PROCEDURE

A. RATES

Under this plan, fringe benefit rates and three areas of indirect costs (overhead) will be accounted for in developing a total fringe/indirect cost rate applicable to each bureau. They are as follows:

1. BUREAU INDIRECT COSTS (Section IV, Pg. 4, Col. 7)

This is the bureau's own overhead, the cost of which is spread across the programs under the jurisdiction of each bureau, except BOA, BOE, and BCM. These three bureaus (Tribureaus) have combined their bureau's overhead costs and are spread across the programs and projects under the three bureaus to develop a common, uniform overhead rate.

2. DPW ADMINISTRATION COSTS (Section IV, Pg. 4, Col. 8)

This is the departmental overhead and includes (a) Director's Office (DIR), the cost of which is spread across all the programs of DPW, (b) the Office of Financial Management and Administration (OFFMA), the cost of which is spread across all the programs of DPW except DIR, and (c) Deputy Director for Operations (DDO) and Deputy Director for Engineering (DDE), the cost of which is spread across all the programs within the applicable bureaus of each Deputy Director.

3. COWCAP (Section IV, Pg. 4, Col. 11)

This is the Countywide Cost Allocation Plan, the City's overhead. This plan is prepared each year by the City's Office of the Controller and submitted to the State Controller's Office for approval (see Appendix C). The cost of COWCAP is spread across all the non-service bureaus of DPW. The COWCAP rate is only used for billing agencies other than the City and County of San Francisco.

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

4. PAID TIME OFF (Section IV, Pg. 4, Col. 3)

The base for calculating the Departmental PTO rate is direct labor.

5. MANDATORY FRINGE BENEFITS (Section IV, Pg. 4, Col. 2)

Mandatory Fringe Benefits are based on actual rates as calculated by the Controller's Office. An average rate per bureau is shown here for estimating purposes.

B. BASE

For purposes of this Indirect Cost Plan, the base that is used to establish the indirect rates is DIRECT LABOR. The utilization of direct labor as the base is in accordance with the policy of the Controller of the City and County of San Francisco.

C. TABLES

Four tables have been developed to arrive at an Indirect Cost rate for each bureau:

1. Table I (Page 6) shows the Estimated Labor Calculations for each bureau based on projected direct salaries reduced by an estimated paid time off factor, except as noted.

2. Table II (Page 7) shows the Distribution of Adjusted DPW Administration Indirect Costs to the various Bureaus. The methodology employed for Fiscal Year 2008-09 uses the number of filled Permanent budget positions in the bureaus from the Personnel Status Summary Report adjusted for new positions as the basis for calculating percentages for distribution of the cost of services of DPW Administration to each bureau. The number of positions in the General Administration divisions is based on budgeted positions. Following is a description of the major columns shown in Table II:

Col. (3) The adjusted indirect cost of the Director's Office is distributed among the bureaus/offices.

Col. (5) The adjusted indirect costs of OFFMA is distributed among the bureaus/offices using their services.

Col. (7) The adjusted indirect costs of the Deputy Director for Engineering and the Deputy Director for Operations are distributed among the various bureaus under their respective jurisdictions.

Col. (8) The total Director's Office, OFFMA, and Deputy Director's indirect costs are distributed among the bureaus of the department.

3. Table III (Page 8) shows the distribution of the Department of Public Works' COWCAP Costs based on the County-wide Costs Allocation Plan for the Fiscal Year ending June 30, 2008. (See Appendix C, Page 24)

4. Tables IV, IVa, and IVb (Pages 9 and 10) show the calculation of each bureau's Fixed with Carry-Forward Indirect Costs Rates.

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

D. CARRY-FORWARD CALCULATIONS

Calculation of the carry-forward adjustments requires that (1) the difference between the actual expenditures and actual recoveries from two fiscal years prior be calculated and (2) that this difference be further modified by the carry-forward adjustments calculated from four fiscal years prior. The determined carry-forward adjustment is then applied against the estimated costs for the subject fiscal year.²

Two types of carry-forward calculations are required to arrive at an adjusted rate for the fiscal year:

1. Bureau Indirect Costs

There are two elements: Bureau Indirect Labor (Appendix F - Page 26) and Bureau Indirect Non-Labor (Appendix G - Page 27).

2. DPW Administration (Appendix H - Page 28)

² The 1978 Procedure Manual, prepared by Touche Ross & Company, provides that the carry-forward adjustments must be carried to the second fiscal year following the period being adjusted. For example, the 1978-79 adjustment is carried forward to 1980-81.

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

SECTION IV

**SUMMARY OF FIXED WITH CARRY-FORWARD RATES
FISCAL YEAR 2008-2009
FIXED WITH CARRY-FORWARD FRINGE/INDIRECT COST rates to be applied
against DIRECT LABOR as developed from Tables I, II, III, IV, IVa and IVb
are summarized as follows:**

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
BUREAU	FRINGES			BUREAU OVERHEAD			DPW ADMIN (DEPT O/H)	TOTAL O/H (COL 7 + COL 8)	SUMMARY OF RATES FOR FPS (COL 4 + COL 9)	COWCAP (CITY O/H)	SUMMARY OF RATES (INCL COWCAP) (COL 10 + COL 11)
	MAND. FRINGE BENEFITS*	PAIDTIME OFF(PLUS MFB)	TOTAL FRINGES (COL 2+ COL 3)	INDIRECT LABOR (PLUS PTO & MFB)	INDIRECT NON- LABOR	TOTAL BUREAU O/H (COL 5 + COL 6)					
	Information Only										
BOA	21.85%	23.99%	45.84%	30.83%	33.09%	63.92%	36.55%	100.47%	146.31%	23.16%	169.47%
BBR	29.30%	23.99%	53.29%	28.30%	12.17%	40.47%	41.72%	82.19%	135.48%	-	135.48%
BOE	21.85%	23.99%	45.84%	37.27%	26.65%	63.92%	36.55%	100.47%	146.31%	19.97%	166.28%
SES	29.24%	23.99%	53.23%	1.82%	35.13%	36.95%	32.42%	69.37%	122.60%	7.04%	129.64%
SSR	27.17%	23.99%	51.16%	13.49%	40.39%	53.88%	36.74%	90.62%	141.78%	-	141.78%
BCM	21.85%	23.99%	45.84%	26.14%	37.78%	63.92%	36.55%	100.47%	146.31%	15.22%	161.53%
BSM	24.54%	23.99%	48.53%	15.83%	21.23%	37.06%	35.75%	72.81%	121.34%	41.31%	162.65%
BUF	28.89%	23.99%	52.88%	11.97%	33.30%	45.27%	36.28%	81.55%	134.43%	27.24%	161.67%

(*) THE MFB IS AN AVERAGE OF THE ACTUAL RATE AS CALCULATED IN BPREP, BY BUREAU.

Column Explanations:

Col. (1) - See page 23 for three letter designation

Col. (2) - Average actual rate in BPREP

Col. (3) - From Appendix E

BBR, SES, SSR, BSM, and BUF

Col. (5) - From Table IV, Col. 3

Col. (6) - From Table IV, Col. 5

Col. (8) - From Table IV, Col. 7

BOA, BOE, and BCM

Col. (5) - From Table IVb, Col. 3

Col. (6) - From Table IVb, Col. 5

Col. (8) - From Table IVa, Col. 5

Col. (11) - From Table IV, Col. 9

Note: Mandatory fringe benefit rates are based on actual calculations by the Controller's Office and an average rate for the Bureau is stated here. Rates vary between Bureaus because they are calculated based on individual position classifications and their union Memorandums of Understanding which may vary between classifications. These rates are no longer fixed per Bureau as in 1995-96 and prior years. Actual fringes charged to projects will be based on actual charges by the Controller's Office to specific classifications/cost centers.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

V. DEFINITIONS

LABOR	Dollars for time worked.
SALARIES	Dollars for time worked plus dollars for paid time off (Total pay for 261 days).
PAID TIME OFF	Dollars for paid time off (est. 42 days). Part of salaries.
MANDATORY FRINGE BENEFITS	Dollars for mandatory fringe benefits which are retirement, Health Service, Social Security, and unemployment insurance.
FRINGES	Mandatory fringe benefits plus paid time off.
DIRECT PROJECT	A work activity whose primary purpose is the accomplishment of a specific objective or service delivery.
DIRECT LABOR	Dollars for time worked on a direct project.
DIRECT NON-LABOR	Costs incurred for materials, supplies, equipment and services that <u>can</u> be identified with a specific direct project.
DIRECT COSTS	Costs which are readily attributable to the accomplishment of a specific direct project. These costs are direct labor, MFB for direct labor, PTO (and associated MFBs) for direct labor, and direct non-labor.
INDIRECT LABOR	Dollars for time worked for support or administration which <u>cannot</u> be readily attributable to a specific direct project.
INDIRECT NON-LABOR	Costs incurred for materials, supplies, equipment and services that <u>cannot</u> be identified with a specific direct project.
INDIRECT COSTS	Costs that <u>cannot</u> be readily attributable to a specific direct project. These costs are indirect labor, MFB for indirect labor, PTO (and associated MFBs) for indirect labor, and indirect non-labor.
DPW ADMINISTRATION	Departmental overhead costs which are proportionately shared by all the bureaus. (See page 2 for details)
FIXED WITH CARRY-FORWARD FRINGE/INDIRECT COST RATE	A rate applied to direct labor that is based on projected direct and indirect costs and is subject to future adjustments to reflect <u>actual</u> costs.

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE I

DEPARTMENT OF PUBLIC WORKS
ESTIMATED LABOR CALCULATIONS
FISCAL YEAR 2008-2009

BUREAU	(1) PROJECTED SALARIES	(2) ESTIMATED PTO (COL 1x16.09)	(3) ESTIMATED LABOR (COL 1-2)
DIRECT:			
(a) BOA	\$6,186,436	\$995,518	\$5,190,918
(b) BBR	\$13,773,634	\$2,216,447	\$11,557,187
(a) BOE	\$11,753,032	\$1,891,293	\$9,861,739
(b) SES	\$19,875,396	\$3,198,340	\$16,677,056
(b) SSR	\$6,147,606	\$989,270	\$5,158,336
(a) BCM	\$8,671,887	\$1,395,476	\$7,276,411
(b) BSM	\$6,359,154	\$1,023,312	\$5,335,842
(b) BUF	\$7,075,264	\$1,138,548	\$5,936,716
TOTAL DIRECT	\$79,842,409	\$12,848,204	\$66,994,205

- a. BOA, BOE, and BCM Direct and Indirect Labor as per Tribureaus Indirect Costs and Direct Labor Projection Sheet.
- b. Direct Labor projections based on FY 2007-08 actuals adjusted for 08-09 changes
- c. There are 261 working days in FY 2008-09. Assume an average of 42 Paid Time Off days per year (13 sick leave days, 11 holidays, 5 floating holidays and an average of 13 vacation days). $42/261 = 0.1609$

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE II

DEPARTMENT OF PUBLIC WORKS
DISTRIBUTION OF ADJUSTED DPW ADMINISTRATION INDIRECT COSTS FROM APPENDIX H
FOR FISCAL YEAR 2008-2009

BUREAU/ OFFICE	(1) NUMBER OF PERM. FILLED POSITIONS *	(2) % FOR DIR DISTRIBUTION	(3) \$ DISTRIBUTED FOR DIR	(4) % FOR FMA DISTRIBUTION	(5) \$ DISTRIBUTED FOR FMA	(6) % FOR DEPUTY DIRECTORS DISTRIBUTION	(7) \$ DISTRIBUTED FOR DEPUTY DIRECTORS	(8) TOTAL DOLLARS DISTRIBUTED	
DIR	12	-	-	-	-	-	-	-	
FMA	37	3.48%	\$280,350	-	-	-	-	-	
DDE	22	2.07%	\$166,760	2.15%	\$261,596	-	-	-	
BOA	68	6.40%	\$515,587	6.63%	\$809,591	18.12%	\$499,735	\$1,824,909	
BOE	131	12.34%	\$994,115	12.78%	\$1,560,568	34.94%	\$963,616	\$3,518,299	
BCM	105	9.89%	\$796,742	10.24%	\$1,250,408	27.99%	\$771,941	\$2,819,091	
DDO	18	1.69%	\$136,147	1.76%	\$214,914	-	-	-	
BBR	206	19.40%	\$1,562,872	20.10%	\$2,454,415	33.77%	\$804,274	\$4,821,561	
SES	231	21.75%	\$1,752,189	22.54%	\$2,752,364	37.87%	\$901,921	\$5,406,474	
SSR	81	7.63%	\$614,676	7.90%	\$964,671	13.27%	\$316,042	\$1,895,389	
BUF	92	8.66%	\$697,653	8.98%	\$1,096,550	15.09%	\$359,387	\$2,153,590	
BSM	71	6.69%	\$538,949	6.93%	\$846,224	18.94%	\$522,350	\$1,907,523	
OTHERS					\$217,038			\$217,038	
TOTAL	1,074	100.00%	\$8,056,041	100.00%	\$12,428,058	100.00%	\$2,757,918	\$24,563,874	
	1,074	100.00%	8,056,040	100.01%	12,428,339	100.00%	\$2,381,624	\$0	
Less: DIR		1,062				100.00%	\$2,757,642	\$0	
Less: DIR & OFFMA				1,025		100.00%	\$2,381,624		
Less: Flow-through Costs (see (a) and (b) below)			\$583,257		\$476,510				
NET DISTRIBUTION			\$7,472,784	plus	\$11,951,549	plus	\$5,139,542	\$24,563,874	
(a) DIR/CLMS:	OFFMA	\$280,350		DDE	\$166,760	DDO	\$136,147	equals	\$583,257
(b) OFFMA:				DDE	\$261,596	DDO	\$214,914	equals	\$476,510
(c) Total FMA Cost:	(appendix H)	\$12,147,708	plus DIR flow-thru	\$280,350				equals	\$12,428,058
(d) Total DDE Cost:	(appendix H)	\$2,329,562	plus DIR flow-thru	\$166,760	plus FMA flow-thru	\$261,596		equals	\$2,757,918
(e) Total DDO Cost:	(appendix H)	\$2,030,563	plus DIR flow-thru	\$136,147	plus FMA flow-thru	\$214,914		equals	\$2,381,624

* This Indirect Cost Plan uses filled Permanent and Provisional positions from the Personnel Status Summary Report dated 12/31/2007 plus adjustments for new employees.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE III

DEPARTMENT OF PUBLIC WORKS
DISTRIBUTION OF COWCAP COSTS
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
BUREAU/ OFFICE	COWCAP ALLOCATION (DOLLARS)	DIR DISTRIBUTION PERCENT	DIR DOLLARS	FMA DISTRIBUTION PERCENT	FMA DOLLARS	DEPUTY DIRECTORS DISTRIBUTION PERCENT	DEPUTY DIRECTORS DOLLARS	TOTAL DOLLARS DISTRIBUTED
DIR	9,212,852	-	-	-	-	-	-	-
FMA	-	4.32%	399,494	-	-	-	-	-
DDE	-	2.57%	236,770	2.69%	10,746	-	-	-
BOA	393,125	7.94%	730,909	8.30%	33,158	18.13%	44,875	1,202,067
BOE	409,362	15.30%	1,409,566	16.00%	63,919	34.93%	86,457	1,969,304
BCM	(143,247)	12.27%	1,130,417	12.82%	51,215	28.00%	69,304	1,107,689
DDO	-	2.10%	193,470	2.20%	8,789	-	-	-
BBR (Srv. Bur.)	-	-	-	-	-	-	-	-
SES	(1,540,880)	26.99%	2,486,549	28.21%	112,697	57.18%	115,652	1,174,018
SSR	(2,764,758)	9.46%	871,536	9.89%	39,510	20.05%	40,553	(1,813,159)
BSM	1,359,096	8.29%	763,745	8.67%	34,636	18.93%	46,855	2,204,332
BUF	536,024	10.75%	990,382	11.23%	44,863	22.77%	46,054	1,617,323
TOTAL	7,461,574	100.00%	9,212,852	100.00%	399,494	100.00%	247,516	7,461,574
		99.99%	9,212,838	100.01%	399,533	100.00%	202,259	7,461,574

Less: DIR & BBR	856					375 employees in BOA, BOE, BCM, & BSM
Less: DIR, FMA, and BBR				819		404 employees in BSES, SSR & BUF
Less: Flow-through			829,734		19,535	
Net Distribution			8,383,118	plus	379,959	plus \$77*,8 equal \$9,212,852

(a) DIR Flow-through:	FMA	\$399,494	plus DDE	\$236,770	plus DDO	\$193,470	equal	\$829,734
(b) FMA Flow-through:	DDE	\$10,746	plus DDO	\$8,789			equal	\$19,535

Notes:

(*) From Cost Allocation Plan-Year Ending June 30, 2008 (pages 9 & 10)

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE IV

DEPARTMENT OF PUBLIC WORKS
FIXED WITH CARRY-FORWARD
INDIRECT COST RATE CALCULATIONS
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
BUREAU	ESTIMATED DIRECT LABOR	ADJ INDIRECT LABOR (PLUS PTO & MFB)	RATE FOR INDIRECT LABOR	ADJUSTED INDIRECT NON-LABOR	RATE FOR INDIRECT NON-LABOR	ADJUSTED DPW ADMIN	RATE FOR DPW ADMIN	COWCAP (CITY OVERHEAD)	RATE FOR COWCAP
	TABLE I COL (3)	APPENDIX F, COL (7)	COL (2)/ COL (1)	APPENDIX G, COL (7)	COL (4)/ COL (1)	TABLE II, COL (8)	COL (6)/ COL (1)	TABLE III, COL (8)	COL (8)/ COL (1)
BOA	\$5,190,918	\$1,503,440	28.96%	\$1,613,325	31.08%	\$1,824,909	35.16%	\$1,202,067	23.16%
BBR	\$11,557,187	\$3,271,034	28.30%	\$1,407,020	12.17%	\$4,821,561	41.72%	-	-
BOE	\$9,861,739	\$3,542,868	35.93%	\$2,533,779	25.69%	\$3,518,299	35.68%	\$1,969,304	19.97%
SES	\$16,677,056	\$303,977	1.82%	\$5,859,280	35.13%	\$5,406,474	32.42%	\$1,174,018	7.04%
SSR	\$5,158,336	\$695,785	13.49%	\$2,083,654	40.39%	\$1,895,389	36.74%	(\$1,813,159)	-
BCM	\$7,276,411	\$1,906,323	26.20%	\$2,755,217	37.87%	\$2,819,091	38.74%	\$1,107,689	15.22%
BSM	\$5,335,842	\$844,598	15.83%	\$1,132,903	21.23%	\$1,907,523	35.75%	\$2,204,332	41.31%
BUF	\$5,936,716	\$710,691	11.97%	\$1,977,203	33.30%	\$2,153,590	36.28%	\$1,617,323	27.24%
TOTAL	\$66,994,205	\$12,778,717		\$19,362,380		\$24,346,836		\$7,461,574	

ICP08DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

TABLE IVa

DEPARTMENT OF PUBLIC WORKS
TRIBUREAU COMBINED RATE
DEPARTMENT AND BUREAU RATE CALCULATION
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
BUREAU	LHH DIRECT LABOR	ALL OTHER DIRECT LABOR	TOTAL DIRECT LABOR	ADJUSTED DPW ADMIN	RATE FOR DPW ADMIN	ADJ. INDIRECT LABOR (PLUS PTO & MFB)	ADJ. INDIRECT NON-LABOR	ADJUSTED INDIRECT LABOR AND NON-LABOR	LHH RECOVERY FOR HRC	TOTAL INDIRECT LABOR PLUS NON-LABOR	RATE FOR INDIRECT LABOR AND NON-LABOR
	TRIBUREAU PROJECTION SHEET, COL. (D)	COL. (C)	COL (1) PLUS COL (2)	TABLE II, COL (8)	COL (4)/ COL (3)	APPENDIX F, COL (7)	APPENDIX G, COL (7)	COL (6) PLUS COL (7)	5.22% X COL (1)	COL (8) MINUS COL (9)	COL (10) / COL (2)
BOA	123,796	\$5,067,121	5,190,917	\$1,824,909		\$1,503,440	\$1,613,325	\$3,116,765	6,467	\$3,110,299	
BOE	152,196	\$9,709,543	9,861,739	\$3,518,299		\$3,542,868	\$2,533,779	\$6,076,647	7,950	\$6,068,697	
BCM	434,496	\$6,841,915	7,276,411	\$2,819,091		\$1,906,323	\$2,755,217	\$4,661,540	22,697	\$4,638,843	
TOTAL	710,489	\$21,618,579	\$22,329,068	\$8,162,299	36.55%	\$6,952,632	\$6,902,321	\$13,854,952	\$37,114	\$13,817,839	63.92%

TABLE IVb

DEPARTMENT OF PUBLIC WORKS
TRIBUREAU'S COMBINED BUREAU OVERHEAD RATE CALCULATIONS
FISCAL YEAR 2008-2009

BUREAU	(1) RATE FOR INDIRECT LABOR AND NON-LABOR	(2) INDIRECT LABOR SPLIT	(3) RATE FOR INDIRECT LABOR	(4) INDIRECT NON-LABOR SPLIT	(5) RATE FOR INDIRECT NON-LABOR
	TABLE IVa COL. (11)	TABLE IV, COL (3)/ COL (3) PLUS COL (5)	COL (1) X COL (2)	TABLE IV, COL (5)/ COL (3) PLUS COL (5)	COL (1) X COL (4)
BOA	63.92%	0.48	30.83%	0.52	33.09%
BOE	63.92%	0.58	37.27%	0.42	26.65%
BCM	63.92%	0.41	26.14%	0.59	37.78%

Notes:

COL (2) & (4) The indirect labor/non-labor rate ratio in Table IV is applied to the combined rate.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

DIRECTOR'S OFFICE
 (DPW Administration Overhead Fund)

LABOR:

- 12 00101 Permanent Salaries Miscellaneous
 - 1 0932 Manager IV
 - 2 0941 Manager VI
 - 1 0964 Department Head IV
 - 1 1314 Public Relations Officer
 - 1 1402 Junior Clerk
 - 1 1404 Clerk
 - 2 1450 Exec. Secretary I
 - 1 1824 Pr. Administrative Analyst
 - 1 6318 Construction Inspector
 - 1 8247 Emergency Plan Coordinator

DIRECTOR'S OFFICE	Character Level Summary
OBJECT TITLE	PHASE D
Character 001 Salaries	\$1,174,717
Character 013 Mandatory Fringe Benefits	297,911
Character 013 Health Subsidy & Admin	5,847,495
LABOR SUBTOTAL	<u>\$7,320,123</u>
Character 021 Non Personal Services	25,881
Character 040 Materials & Supplies	18,496
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	1,080,014
NON-LABOR SUBTOTAL	<u>\$1,124,391</u>
FINAL BUDGET TOTAL	\$8,444,514

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

OFFICE of FINANCIAL MANAGEMENT & ADMINISTRATION
 (DPW Administration Overhead Fund)

LABOR:

63	00101 Permanent Salaries Miscellaneous		
1	0923 Manager II	1	1630 Account Clerk
3	0931 Manager III	3	1632 Senior Account Clerk
1	0932 Manager IV	3	1634 Principal Account Clerk
4	0933 Manager V	4	1652 Senior Accountant
2	0941 Manager VI	8	1654 Principal Accountant
1	0942 Manager VII	1	1656 Head Accountant
1	0954 Deputy Director IV	3	1657 Sr. System Accountant
1	1022 IS Administrator II	1	1822 Administrative Analyst
3	1043 IS Engineer – Senior	4	1823 Sr. Administrative Analyst
3	1044 IS Engineer – Principal	3	1824 Principal Administrative Analyst
1	1053 IS Bus Analyst – Sr.	3	1842 Management Assistant
4	1054 IS Business Analyst -Principal	1	1844 Senior Management Assistant
1	1070 IS Manager	1	2978 Contract Compliance Officer II
1	1222 Senior Payroll & Pers Clerk		

FINANCIAL MANAGEMENT &
 ADMINISTRATION

Character Level Summary

OBJECT TITLE	PHASE D	DDO adjustment	DDE adjustment	Adjusted OFFMA
Character 001 Salaries	\$6,025,379	(\$378,605)	(\$1,681,081)	\$3,965,693
Character 013 Mandatory Fringe Benefits	<u>1,528,050</u>	<u>(96,015)</u>	<u>(426,326)</u>	<u>\$1,005,709</u>
LABOR SUBTOTAL	\$7,553,429	(\$474,620)	(\$2,107,407)	\$4,971,402
Character 021 Non Personal Services	1,497,685		(6,300)	1,491,385
Character 040 Materials & Supplies	125,011		(540)	124,471
Character 060 Capital Outlay	268,200			268,200
Character 081 Services of Other Departments	<u>5,882,869</u>		<u>(4,842)</u>	<u>5,878,027</u>
NON-LABOR SUBTOTAL	\$7,773,765	\$0	(\$11,682)	\$7,762,083
FINAL BUDGET TOTAL	\$15,327,194	(\$474,620)	(\$2,119,089)	\$12,733,485

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

DEPUTY DIRECTOR ENGINEERING
 (DPW Administration Overhead Fund)

LABOR:

- 2 00101 Permanent Salaries Miscellaneous
- 1 0954 Deputy Director IV
- 1 1450 Executive Secretary I

DEPUTY DIRECTOR ENGINEERING OBJECT TITLE	Character Level Summary		
	PHASE D	OFFMA adjustment	DDE adjusted
Character 001 Salaries	\$244,347	\$1,681,081	\$1,925,428
Character 013 Mandatory Fringe Benefits	61,967	426,326	488,293
LABOR SUBTOTAL	\$306,314	\$2,107,407	\$2,413,721
Character 021 Non Personal Services	10,150	6,300	16,450
Character 040 Materials & Supplies	1,600	540	2,140
Character 060 Capital Outlay	0		0
Character 081 Services of Other Departments	4,744	4,842	9,586
NON-LABOR SUBTOTAL	\$16,494	\$11,682	\$28,176
FINAL BUDGET TOTAL	\$322,808	\$2,119,089	\$2,441,897

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN
DETAILED BUDGET

FISCAL YEAR 2008-2009
APPENDIX A

DEPUTY DIRECTOR for OPERATIONS
(DPW Administration Overhead Fund)

LABOR:

- 12 00101 Permanent Salaries Miscellaneous
 - 1 0932 Manager IV
 - 1 0954 Deputy Director IV
 - 1 1312 Public Info. Officer
 - 1 1452 Executive Secretary II
 - 1 1704 Communication Dispatcher I
 - 1 1705 Communication Dispatcher II
 - 1 1934 Storekeeper
 - 2 1936 Senior Storekeeper
 - 1 1938 Stores & Equipment Assistant Sup.
 - 2 7210 Mobile Equipment Spvr.

DEPUTY DIRECTOR for OPERATIONS OBJECT TITLE	Character Level Summary		
	PHASE D	OFFMA adjustment	DDO adjusted
Character 001 Salaries	\$960,675	\$378,605	\$1,339,280
Character 013 Mandatory Fringe Benefits	243,629	96,015	\$339,657
LABOR SUBTOTAL	\$1,204,304	\$474,620	\$1,678,924
Character 021 Non Personal Services	8,200		8,200
Character 040 Materials & Supplies	78,922		78,922
Character 060 Capital Outlay	0		0
Character 081 Services of Other Departments	362,433		362,433
NON-LABOR SUBTOTAL	\$449,555	\$0	\$449,555
FINAL BUDGET TOTAL	\$1,653,859	\$474,620	\$2,128,479

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN
DETAILED BUDGET

FISCAL YEAR 2008-2009
APPENDIX A

BUREAU of ARCHITECTURE
(DPW Bureau Overhead Fund)

LABOR:

- 11 00101 Permanent Salaries Miscellaneous
 - 1 0933 Manager V
 - 1 0942 Manager VII
 - 1 1023 IS Administrator III
 - 1 1043 IS Engineer – Senior
 - 2 1404 Clerk
 - 1 1406 Senior Clerk
 - 1 1452 Executive Secretary II
 - 1 1822 Administrative Analyst
 - 1 5266 Architectural Associate II
 - 1 5268 Architect

BUREAU of ARCHITECTURE OBJECT TITLE	Character Level Summary	
	PHASE D	AS PER BUREAU (1)
Character 001 Salaries	\$1,248,527	\$1,248,527
Character 013 Mandatory Fringe Benefits	273,690	273,690
LABOR SUBTOTAL	<u>\$1,522,217</u>	<u>\$1,522,217</u>
Character 021 Non Personal Services	213,020	213,020
Character 040 Materials & Supplies	91,000	91,000
Character 060 Capital Outlay	269,000	269,000
Character 081 Services of Other Departments	<u>1,450,991</u>	<u>1,450,991</u>
NON-LABOR SUBTOTAL	<u>\$2,024,011</u>	<u>\$2,024,011</u>
FINAL BUDGET TOTAL	\$3,546,228	\$3,546,228

(1) – As per Tribureau Indirect Costs and Direct Labor Projection Sheet.

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN
DETAILED BUDGET

FISCAL YEAR 2008-2009
APPENDIX A

BUREAU of BUILDING REPAIR
(DPW Bureau Overhead Fund)

LABOR:

25 00101 Permanent Salaries Miscellaneous

- 1 0922 Manager I
- 1 0932 Manager IV
- 1 0941 Manager VI
- 1 1408 Principal Clerk
- 1 1630 Account Clerk
- 1 1632 Senior Account Clerk
- 2 2718 Custodial Supervisor I
- 1 7120 Bldg. & Grounds Maint. Supt.
- 1 7213 Plumber Supervisor I
- 2 7226 Carpenter Supervisor I
- 1 7233 Glazier Supervisor I
- 1 7236 Locksmith Supervisor I
- 1 7238 Electrician Supervisor I
- 1 7239 Plumber Supervisor II
- 1 7247 Sheet Metal Worker Supvr II
- 1 7262 Maintenance Planner
- 1 7263 Maintenance Manager
- 1 7272 Carpenter Supervisor II
- 1 7276 Electrician Supervisor II
- 1 7278 Painter Supervisor II
- 1 7348 Steamfitter
- 1 7349 Steamfitter Asst Supervisor
- 1 9345 Sheet Metal Supervisor I

BUREAU of BUILDING REPAIR

Character Level
Summary

OBJECT TITLE	PHASE D:
Character 001 Salaries	\$2,663,387
Character 013 Mandatory Fringe Benefits	629,277
LABOR SUBTOTAL	\$3,292,664
Character 021 Non Personal Services	94,605
Character 040 Materials & Supplies	124,378
Character 060 Capital Outlay	200,430
Character 081 Services of Other Departments	1,197,488
NON-LABOR SUBTOTAL	\$1,616,901
FINAL BUDGET TOTAL	\$4,909,565

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of ENGINEERING
 (DPW Bureau Overhead Fund)

LABOR:

- 26 00101 Permanent Salaries Miscellaneous
 - 2 0942 Manager VIII
 - 1 1021 IS Administrator I
 - 1 1054 IS Business Analyst – Prin.
 - 2 1426 Sr. Clerk Typist
 - 1 1446 Secretary II
 - 1 1450 Secretary II
 - 2 1822 Administrative Analyst
 - 2 1823 Sr. Administrative Analyst
 - 1 1842 Management Assistant
 - 1 1924 Material and Supplies Sup.
 - 9 5211 Senior Engineer
 - 1 5212 Principal Civil Engnr
 - 1 5366 Engrg Assoc. II
 - 1 6335 Disability Access Coordinator

BUREAU of ENGINEERING	Character Level Summary	
OBJECT TITLE	PHASE D	AS PER BUREAU (1)
Character 001 Salaries	\$3,346,796	\$3,322,631
Character 013 Mandatory Fringe Benefits	<u>693,575</u>	<u>\$717,806</u>
LABOR SUBTOTAL	\$4,040,371	\$4,040,436
Character 021 Non Personal Services	484,500	484,500
Character 040 Materials & Supplies	145,000	145,000
Character 060 Capital Outlay	177,700	177,700
Character 081 Services of Other Departments	<u>1,974,762</u>	<u>1,974,762</u>
NON-LABOR SUBTOTAL	\$2,781,962	\$2,781,962
FINAL BUDGET TOTAL	\$6,822,333	\$6,822,398

(1) – As per Tribureau Indirect Costs and Direct Labor Projection Sheet.

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

BUREAU of STREET ENVIRONMENTAL SERVICES
 (DPW Bureau Overhead Fund)

LABOR:

- 3 00101 Permanent Salaries Miscellaneous
- 1 0941 Manger VI
- 1 1408 Senior Clerk
- 1 1634 Pr. Account Clerk

BUREAU of STREET ENVIRONMENTAL SERVICES	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$299,831
Character 013 Mandatory Fringe Benefits	76,720
LABOR SUBTOTAL	\$376,551
Character 021 Non Personal Services	141,737
Character 040 Materials & Supplies	12,394
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	5,652,742
NON-LABOR SUBTOTAL	\$5,806,873
FINAL BUDGET TOTAL	\$6,183,424

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of STREET & SEWER REPAIR
 (DPW Bureau Overhead Fund)

LABOR:

- 7 00101 Permanent Salaries Miscellaneous
- 1 0932 Manager IV
- 1 0941 Manager VI
- 1 1408 Principal Clerk
- 1 1446 Secretary II
- 2 1632 Sr. Account Clerk
- 1 1822 Administrative Analyst

BUREAU of STREET & SEWER REPAIR	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$609,887
Character 013 Mandatory Fringe Benefits	<u>182,389</u>
LABOR SUBTOTAL	\$792,276
Character 021 Non Personal Services	61,466
Character 040 Materials & Supplies	49,501
Character 060 Capital Outlay	225,214
Character 081 Services of Other Departments	<u>2,051,190</u>
NON-LABOR SUBTOTAL	\$2,387,371
FINAL BUDGET TOTAL	\$3,179,647

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN
DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of CONSTRUCTION MANAGEMENT
(DPW Bureau Overhead Fund)

LABOR:

- 22 00101 Permanent Salaries Miscellaneous
 - 1 0931 Manager III
 - 1 0933 Manager V
 - 1 0942 Manager VII
 - 1 1013 IS Technician-Senior
 - 1 1023 IS Administrator III
 - 1 1042 IS Engineer
 - 1 1043 IS Engineer-Senior
 - 1 1314 Public Relations Officer
 - 2 1402 Junior Clerk
 - 1 1404 Clerk
 - 1 1408 Principal Clerk
 - 1 1424 Clerk Typist
 - 2 1446 Secretary II
 - 1 1450 Executive Secretary I
 - 2 1823 Sr. Administrative Analyst
 - 1 1842 Management Assistant
 - 1 1844 Senior Management Asst.
 - 2 5212 Principal Engineer

BUREAU of CONSTRUCTION MANAGEMENT OBJECT TITLE	Character Level Summary	
	PHASE D	AS PER BUREAU (1)
Character 001 Salaries	\$2,322,928	\$2,213,002
Character 013 Mandatory Fringe Benefits	544,037	518,292
LABOR SUBTOTAL	\$2,866,965	\$2,731,294
Character 021 Non Personal Services	413,785	413,785
Character 040 Materials & Supplies	210,000	210,000
Character 060 Capital Outlay	319,500	319,500
Character 081 Services of Other Departments	1,899,174	1,899,174
NON-LABOR SUBTOTAL	\$2,842,459	\$2,842,459
FINAL BUDGET TOTAL	\$5,709,424	\$5,573,753

(1) – As per Tribureau Indirect Costs and Direct Labor Projection Sheet.

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009

APPENDIX A

BUREAU of STREET-USE MANAGEMENT
 (DPW Bureau Overhead Fund)

LABOR:

- 8 00101 Permanent Salaries Miscellaneous
 - 1 0933 Manager V
 - 1 0942 Manager VII
 - 1 1043 IS Engineer – Sr.
 - 1 1053 IS Business Analyst – Sr.
 - 1 1070 IS Project Director
 - 2 1822 Administrative Analyst
 - 1 1827 Administrative Services Manager

BUREAU of STREET-USE MANAGEMENT	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$931,931
Character 013 Mandatory Fringe Benefits	211,491
LABOR SUBTOTAL	\$1,143,422
Character 021 Non Personal Services	54,265
Character 040 Materials & Supplies	105,000
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	938,474
NON-LABOR SUBTOTAL	\$1,097,739
FINAL BUDGET TOTAL	\$2,241,161

DEPARTMENT OF PUBLIC WORKS
 INDIRECT FULL COST PLAN
 DETAILED BUDGET

FISCAL YEAR 2008-2009
 APPENDIX A

BUREAU of URBAN FORESTRY
 (DPW Bureau Overhead Fund)

LABOR:

- 5 00101 Permanent Salaries Miscellaneous
- 1 0932 Manager IV
- 1 0941 Manager VI
- 1 1632 Sr. Account Clerk
- 1 1822 Administrative Analyst
- 1 7211 Cement Finisher Supervisor II

BUREAU of URBAN FORESTRY	Character Level Summary
OBJECT TITLE	PHASE D:
Character 001 Salaries	\$534,218
Character 013 Mandatory Fringe Benefits	140,401
LABOR SUBTOTAL	<u>\$674,619</u>
Character 021 Non Personal Services	61,033
Character 040 Materials & Supplies	121,500
Character 060 Capital Outlay	0
Character 081 Services of Other Departments	<u>1,730,557</u>
NON-LABOR SUBTOTAL	<u>\$1,913,090</u>
FINAL BUDGET TOTAL	\$2,587,709

BUREAU/OFFICE LEGEND

BBR	Bureau of Building Repair
BCM	Bureau of Construction Management
BOA	Bureau of Architecture
BOE	Bureau of Engineering
BSM	Bureau of Street-Use and Mapping
BUF	Bureau of Urban Forestry
CLMS	Claims
CSD	Computer Services Division
DDE	Deputy Director Engineering
DDO	Deputy Director Operations
DIR	Director's Office
FMA	Office of Financial Management and Administration
GEN	General Administration
LHH	Laguna Honda Hospital
SES	Bureau of Street Environmental Services
SSR	Bureau of Street & Sewer Repair

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX C

COUNTY WIDE COST ALLOCATION PLAN (COWCAP)

The following chart is an extract from the County Wide Cost Allocation Plan dated September 2007 for the year ending June 30, 2008, as prepared by the City Controller, and submitted to the State Controller for approval. These figures are the basis for all COWCAP calculations in this document.

CITY AND COUNTY OF SAN FRANCISCO - COST DETERMINATION MODEL
STEPDOWN ALLOCATION REPORT
FOR THE PERIOD ENDED JUNE 30, 2008

CENTRAL SVC. DEPARTMENTS	PW- ADMIN.	PW- ARCHITEC- TURE	PW- CNST MGMT	PW- ENGINEER	PW- STREET ENV	PW- ST & SEWER	PW- ST USE & MAP	PW- URBAN FOREST
BUILDING DEPRECIATION	1,945,225	0	0	0	0	0	0	0
EQUIPMENT DEPRECIATION	3,613,253	0	0	0	0	0	0	0
BOARD of SUPERVISORS	33,265	1,153	1,621	1,709	11,164	3,770	5,114	3,456
CON-GEN CITY	593	329	464	486	361	472	907	382
RESPONSIBILITY								
HSS-GENERAL FUND COSTS	71,524	241,685	333,232	358,865	263,656	344,218	670,126	278,304
ADMINISTRATIVE SERVICES	0	0	0	0	0	0	0	0
ADMN SVS-RISK	0	0	0	0	0	0	0	0
MANAGEMENT								
CITY ATTORNEY	-19,396	-3,878	-182,873	-100,316	-89,915	-875,674	0	-1,366
CIVIL SERVICE COMMISSION	4,421	2,450	3,462	3,622	2,690	3,515	6,764	2,850
CONTROLLER- ADMINISTRATION	181,240	42,840	38,427	76,137	5,980	6,658	13,313	6,005
CON-ACCTNG OPS & SYSTEMS D	158,696	243,603	241,601	434,054	63,478	57,073	68,922	55,056
CON-AUDITS	122,810	0	0	0	0	0	0	0
CON-PAYROLL/PERS SVCS DIV	35,504	19,677	27,804	29,087	21,602	28,232	54,325	22,885
HUMAN RESOURCES	17,243	23,569	33,304	34,842	25,875	33,817	65,072	27,412
HR-WORKERS' COMP	133	0	46	0	2,991	1,094	162	893
MAYOR'S BUDGET OFFICE	42	-53	-79	-76	4,963	997	833	1,011
OFC CONTACT ADMIN- PROCUR	-90,126	6,708	11,087	23,386	23,013	40,204	7,454	29,070
PUBLIC WORKS-BLDG REPAIR	178,456	15	0	0	0	0	0	0
TOTAL ALLOCATED	6,252,883	578,098	508,096	861,796	335,858	-355,624	892,992	425,958
LESS: FIXED COSTS (& ADJ)	3,292,914	763,071	1,159,439	1,314,230	2,212,596	2,053,510	426,888	315,892
CARRY-FORWARD	2,959,969	-184,973	-651,343	-452,434	-1,876,738	-2,409,134	466,104	110,066
PROPOSED COSTS	\$9,212,852	\$393,125	\$-143,247	\$409,362	\$-1,540,880	\$-2,764,758	\$1,359,096	\$536,024

**DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN**

FISCAL YEAR 2008-2009

APPENDIX E

**DEPARTMENT of PUBLIC WORKS
PAID TIME OFF (INCLUDING MFB) FIXED
FISCAL YEAR 2008-2009**

A. CARRY-FORWARD FACTOR FOR 2008-2009	
(1) Total Department PTO Expense 2006-2007 (from Line 27, Total Column, Expenditure Detail worksheet)	19,267,571
(2) Total Department PTO Recovery 2006-2007 (from Line 29, Total Column, Expenditure Detail worksheet)	19,326,575
(3) Carry-forward Factor: (1) - (2) above	(59,004)
B.. PTO DOLLARS FOR 2008-2009:	
(4) 2008-09 Estimated Department Direct Labor (See Table I)	\$66,994,205
(5) PTO Rate*	19.18%
(6) PTO Dollars for Direct Labor: (See Table I)	\$12,848,204
C. ADJUSTED PTO FOR 2008-2009: (3) PLUS (6)	\$12,789,200
<hr/>	
D. PTO RATE: C / (4)	19.09%
E. MFB FOR PTO's: Department Average Rate (25.67%*) x D	4.90%
F. FIXED WITH CARRYFORWARD PTO RATE	23.99%
(Including MFB) Rate: D plus E	

*Estimated Rate:

Vacation	13
Sick Pay	13
Holiday	11
Floating	<u>05</u>
Total PTO days	42

$$42/219 = 19.18\%$$

Work Days	261
PTO Days	<u>42</u>
Total Base	219

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX F

DEPARTMENT of PUBLIC WORKS
BUREAU INDIRECT LABOR (PLUS PTO & MFB) FIXED
WITH CARRY-FORWARD ADJUSTMENT
FISCAL YEAR 2008-2009

BUREAU	(1) ACTUAL 2006-2007	(2) RECOVERED 2006-2007	(3) CARRY- FORWARD ADJ. 2006-2007	(4) ADJ. RECOVERY 2006-2007 COLS (2)+(3)	(5) CARRY- FORWARD ADJ. 2008-2009 COLS (1)-(4)	(6) BUDGET 2008-2009 (APP. A)	(7) ADJ. BUDGET 2008-2009 COLS (5)+(6)
BOA	\$1,613,845	\$2,036,923	(\$404,301)	\$1,632,622	(\$18,777)	\$1,522,217	\$1,503,440
BBR	\$3,342,716	\$3,080,683	\$283,663	\$3,364,346	(\$21,630)	\$3,292,664	\$3,271,034
BOE	\$2,584,317	\$2,856,421	\$225,465	\$3,081,886	(\$497,569)	\$4,040,437	\$3,542,868
SES	\$355,518	\$383,979	\$44,113	\$428,092	(\$72,574)	\$376,551	\$303,977
SSR	\$568,726	\$668,169	(\$2,952)	\$665,217	(\$96,491)	\$792,276	\$695,785
BCM	\$1,909,036	\$2,432,338	\$301,669	\$2,734,007	(\$824,971)	\$2,731,294	\$1,906,323
BSM	\$677,001	\$946,490	\$29,335	\$975,825	(\$298,824)	\$1,143,422	\$844,598
BUF	\$596,570	\$553,860	\$6,638	\$560,498	\$36,072	\$674,619	\$710,691
	\$11,647,729	\$12,958,862	\$483,630	\$13,442,492	(\$1,794,763)	\$14,573,481	\$12,778,717

Column Explanations:

Col. (1) – Expenditure Detail Worksheet 2006-2007; Line 4

Col. (2) – Recovery Detail Worksheet 2006-2007; Line 3

Col. (3) – 2006-2007 Indirect Cost Plan, Col (5), App. F., Reverse Sign.

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX G

DEPARTMENT of PUBLIC WORKS
BUREAU INDIRECT NON-LABOR
WITH CARRY-FORWARD ADJUSTMENT
FISCAL YEAR 2008-2009

BUREAU	(1) ACTUAL 2006-2007	(2) RECOVERED 2006-2007	(3) CARRY- FORWARD ADJ. 2006-2007	(4) ADJ. RECOVERY 2006-2007 COLS (2)+(3)	(5) CARRY- FORWARD ADJ. 2008-2009 COLS (1)-(4)	(6) BUDGET 2008-2009 (APP. A)	(7) ADJ. BUDGET 2008-2009 COLS (5)+(6)
BOA	\$1,392,262	\$1,398,646	\$404,302	\$1,802,948	(\$410,686)	\$2,024,011	\$1,613,325
BBR	\$1,732,482	\$2,312,234	(\$369,871)	\$1,942,363	(\$209,881)	\$1,616,901	\$1,407,020
BOE	\$2,583,424	\$2,575,375	\$256,232	\$2,831,607	(\$248,183)	\$2,781,962	\$2,533,779
SES	\$5,163,442	\$5,207,613	(\$96,578)	\$5,111,035	\$52,407	\$5,806,873	\$5,859,280
SSR	\$2,676,834	\$3,514,652	(\$534,101)	\$2,980,551	(\$303,717)	\$2,387,371	\$2,083,654
BCM	\$3,640,040	\$3,546,852	\$180,430	\$3,727,282	(\$87,242)	\$2,842,459	\$2,755,217
BSM	\$1,065,958	\$921,387	\$109,407	\$1,030,794	\$35,164	\$1,097,739	\$1,132,903
BUF	\$1,249,449	\$1,180,329	\$5,007	\$1,185,336	\$64,113	\$1,913,090	\$1,977,203
	\$19,503,891	\$20,657,089	\$(45,172)	\$20,611,917	\$(1,108,026)	\$20,470,406	\$19,362,380

Column Explanations:

Col. (1) - Expenditure Detail Worksheet 2006-2007; Line 13 plus Line 60

Col. (2) - Recovery Detail Worksheet 2006-2007; Line 4

Col. (3) - 2006-2007 Indirect Cost Plan, Appendix G, Col (5). Reverse Sign

ICP09DEPT-FINAL.XLS

DEPARTMENT OF PUBLIC WORKS
INDIRECT FULL COST PLAN

FISCAL YEAR 2008-2009

APPENDIX H

DEPARTMENT of PUBLIC WORKS
DPW ADMINISTRATION FIXED WITH CARRY-FORWARD ADJUSTMENTS
FISCAL YEAR 2008-2009

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
GENERAL ADM.	ACTUAL 2006-2007	RECOVERED 2006-2007	CARRY-FORWARD 2006-2007	ADJUSTED RECOVERY 2006-2007 COLS (2)+(3)	CARRY-FORWARD ADJ. 2008-2009 COLS (1)-(4)	CARRY-FORWARD adjustment (½ of subsidy abate)	BUDGET 2008-2009 (APPX. A)	ADJUSTED BUDGET 2008-2009 COLS (5)+(6)
DIRECTOR	-	-	-	-	-		\$8,444,514	\$8,056,041
FMA	-	-	-	-	-		\$12,733,486	\$12,147,708
DDE	-	-	-	-	-		\$2,441,896	\$2,329,562
DDO	-	-	-	-	-		\$2,128,479	\$2,030,563
TOTAL	\$20,536,039	\$20,735,471	\$112,175	\$20,847,646	(\$311,607)	(\$872,896)	\$25,748,376	\$24,563,873

Column Explanations:

Col. (1) - Expenditure Detail Worksheet 2006-2007, Line 14

Col. (2) - Recovery Detail Worksheet 2006-2007, Line 5

Col. (3) - 2006-2007 Indirect Cost Plan, Appendix H, Col (5). Reverse Sign

Col. (6) - In fiscal year 2005-2006, DPW was credited \$1,745,792 for previous years inaccurate Health Subsidy charges. Fifty percent of this credit was carryforwarded in fy 2007-2008. The remainder is included in the carryforward in FY 2008-2009.

ICP09DEPT-FINAL.XLS

NETL F 451.1-EECBG
(3/2009) OPI=320
(Previous Editions Obsolete)

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: _____
2. Proposer: City and County of San Francisco
3. Principal Investigator: Cal Broomhead
Telephone Number: 415-355-3706
4. Project Title: Community Resilience
5. Duration: 36 months
6. Location(s) of Performance (City/Township, County, State): San Francisco, CA

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. Home performance analysis and air sealing to reduce infiltration in existing single family and 2-4 unit residential buildings, some condominium and cooperative apartment buildings. Modification or replacement of existing lighting and HVAC equipment to improve efficiency.
9. List all other locations where proposed work or project would be performed by project's proposer and subcontractors. Over 400 sites to be determined - all within San Francisco.
10. Identify major project operation related materials and waste that would be used, consumed, and produced by this project or activity. Building maintenance materials such as caulk, weatherstripping, sealants, light fixtures, low temperature pipe insulation, natural gas furnaces, water heaters, etc.
11. Provide a brief description of the project location (physical location, surrounding area, adjacent structures). Over 400 existing residential buildings (primarily single family and 2-4 unit buildings) at agreement of the building owner.
12. Attach a site plan or topographic map of the project work area.

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 type="checkbox"/> Industrial | <input type="checkbox"/> Commercial | <input type="checkbox"/> Agricultural |
| <input type="checkbox"/> Suburban | <input type="checkbox"/> Rural | <input checked="" type="checkbox"/> Residential | <input type="checkbox"/> Research Facilities |
| <input type="checkbox"/> Forest | <input 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)
- 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 ₃	<input type="checkbox"/>	<input checked="" type="checkbox"/>
SO _x	<input checked="" type="checkbox"/>	<input type="checkbox"/>
PM ₁₀	<input checked="" type="checkbox"/>	<input type="checkbox"/>
CO	<input checked="" type="checkbox"/>	<input type="checkbox"/>
NO ₂	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Lead	<input checked="" type="checkbox"/>	<input 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?
 None
- h. Would any types of emission control or particulate collection devices be used?
 No Yes (describe, including collection efficiencies)
- i. If no control devices are used, how would emissions be vented? Not Applicable

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?
Pacific Ocean and San Francisco Bay. Buildings are various distances <4 miles
- b. What sources would supply potable and process water for the proposed project?
Not applicable
- 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). Packaging, ducts, furnaces, water heaters, possibly some asbestos on old air ducts being removed.
- 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) Municipal recycling program and per Construction and Demolition Waste Reduction Ordinance. Asbestos disposal in accordance with law.
- d. How would wastes for disposal be transported?
Contractor or existing municipal solid waste management hauler. Asbestos contaminated material disposed in accordance to law.

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?
Pacific Ocean and San Francisco Bay. Buildings are various distances <4 miles
- b. What sources would supply potable and process water for the proposed project?
Not applicable
- 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). Packaging, ducts, furnaces, water heaters, possibly some asbestos on old air ducts being removed.
- 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) Municipal recycling program and per Construction and Demolition Waste Reduction Ordinance. Asbestos disposal in accordance with law.
- d. How would wastes for disposal be transported?
Contractor or existing municipal solid waste management hauler. Asbestos contaminated material disposed in accordance to law.

- e. Describe and estimate the quantity of hazardous wastes (40 CFR 261.31) that would be generated, used, or stored under this project.
 None
 Small quantities.
- f. How would hazardous or toxic waste be collected and stored?
 None used or produced
 Small quantities will be collected and stored according to law.
- 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

IV. CERTIFICATION BY PROPOSER

I hereby certify that the information provided herein is current, accurate, and complete as of the date shown immediately below.

SIGNATURE:  DATE: June / 23 / 2009
month day year

TYPED NAME: Manuel Ramirez

TITLE: Manager

ORGANIZATION: San Francisco Public Utilities Commission

V. REVIEW AND APPROVAL BY DOE

I hereby certify that I have reviewed the information provided in this questionnaire, have determined that all questions have been appropriately answered, and judge the responses to be consistent with the efforts proposed.

PROJECT MANAGER:

SIGNATURE: _____ DATE: _____ / _____ / _____
month day year

TYPED NAME: _____

NETL F 451.1-EBCBG
(3/2009) OPI=320
(Previous Editions Obsolete)

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: _____
2. Proposer: _____
3. Principal Investigator: Cal Broomhead
Telephone Number: 415-355-3706
4. Project Title: Heating Systems
5. Duration: 36 months
6. Location(s) of Performance (City/Township, County, State): San Francisco, CA

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. Modifications of heating equipment in over 100 existing multi-family buildings yet to be selected.
9. List all other locations where proposed work or project would be performed by project's proposer and subcontractors. None
10. Identify major project operation related materials and waste that would be used, consumed, and produced by this project or activity. Hot water pipe, controls equipment, wires, boilers, pipe insulation.
11. Provide a brief description of the project location (physical location, surrounding area, adjacent structures). Within existing multi-family residential buildings at over 100 sites throughout San Francisco. Typically, equipment is located in the basement.
12. Attach a site plan or topographic map of the project work area.

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 type="checkbox"/> Industrial | <input type="checkbox"/> Commercial | <input type="checkbox"/> Agricultural |
| <input type="checkbox"/> Suburban | <input type="checkbox"/> Rural | <input checked="" type="checkbox"/> Residential | <input type="checkbox"/> Research Facilities |
| <input type="checkbox"/> Forest | <input 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)
- 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 ₃	<input type="checkbox"/>	<input checked="" type="checkbox"/>
SO _x	<input checked="" type="checkbox"/>	<input type="checkbox"/>
PM ₁₀	<input checked="" type="checkbox"/>	<input type="checkbox"/>
CO	<input checked="" type="checkbox"/>	<input type="checkbox"/>
NO ₂	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Lead	<input checked="" type="checkbox"/>	<input 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?
 None
- h. Would any types of emission control or particulate collection devices be used?
 No Yes (describe, including collection efficiencies)
- i. If no control devices are used, how would emissions be vented? Not Applicable

7. Hydrologic Conditions/Water Quality

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?
Pacific Ocean and San Francisco Bay. Buildings are various distances <4 miles
- b. What sources would supply potable and process water for the proposed project?
Not applicable
- 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). Packaging, ducts, furnaces, water heaters, possibly some asbestos on old air ducts being removed.
- 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) Municipal recycling program and per Construction and Demolition Waste Reduction Ordinance. Asbestos disposal in accordance with law.
- d. How would wastes for disposal be transported?
Contractor or existing municipal solid waste management hauler. Asbestos contaminated material disposed in accordance to law.

- e. Describe and estimate the quantity of hazardous wastes (40 CFR 261.31) that would be generated, used, or stored under this project.
 None
Small quantities.
 - f. How would hazardous or toxic waste be collected and stored?
 None used or produced
Small quantities will be collected and stored according to law.
 - 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

IV. CERTIFICATION BY PROPOSER

I hereby certify that the information provided herein is current, accurate, and complete as of the date shown immediately below.

SIGNATURE:  _____ DATE: June / 23 / 2009
month day year

TYPED NAME: Manuel Ramirez _____

TITLE: Manager _____

ORGANIZATION: San Francisco Public Utilities Commission _____

V. REVIEW AND APPROVAL BY DOE

I hereby certify that I have reviewed the information provided in this questionnaire, have determined that all questions have been appropriately answered, and judge the responses to be consistent with the efforts proposed.

PROJECT MANAGER:

SIGNATURE: _____ DATE: ____ / ____ / ____
month day year

TYPED NAME: _____

EECBG Activity Worksheet

Grantee: San Francisco Public Utilities Commission (SFPUC) Date: 06/16/2009

DUNS #: 38856845 Program Contact Email: golson@sfgwater.org

Program Contact First Name: Gregg Last Name: Olson

Project Title: Municipal Building Energy Efficiency Retrofit Program

Activity: 6. Buildings and Facilities If Other: _____

Sector: Public If Other: _____

Proposed Number of Jobs Created: 33.90 Proposed Number of Jobs Retained: 0.00

Proposed Energy Saved and/or Renewable Energy Generated: 633,524 kWh/yr and 17,613 therms/yr

Proposed GHG Emissions Reduced (CO2 Equivalents): 446.000

Proposed Funds Leveraged: _____

Proposed EECBG Budget: 3,116,925.00

Projected Costs Within Budget: Administration: \$438,217.00 Revolving Loans: \$0.00 Subgrants: \$0.00

Project Contact First Name: Gregg Last Name: Olson Email: golson@sfgwater.org

Metric Activity: Building Retrofits If Other: _____

Project Summary: *(limit summary to space provided)*

Annual Energy Saved: 633,524 kWh/yr and 17,613 therms/yr
 Annual Greenhouse Gas Emissions reduced: 446 tons CO2e/yr

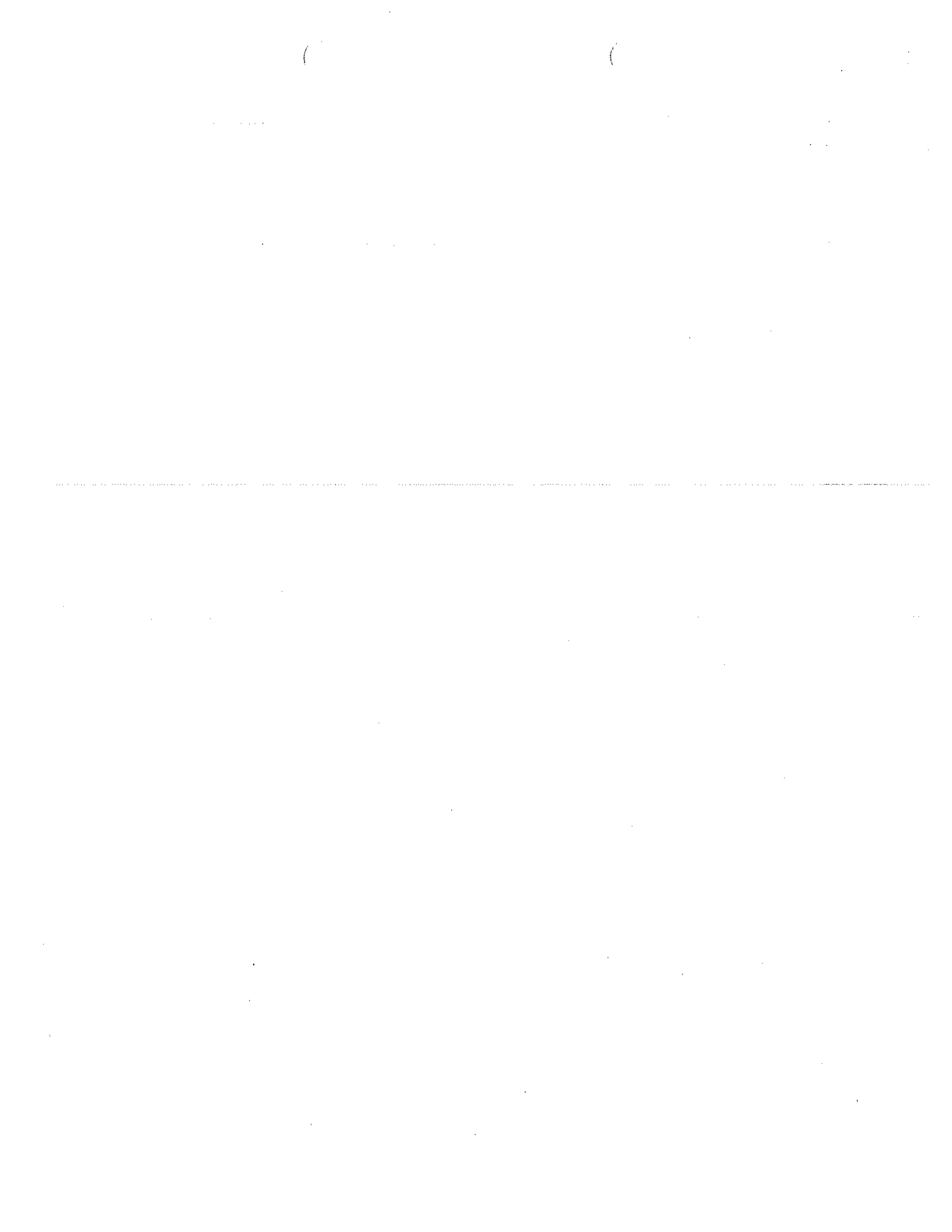
Overview

The Municipal Building Energy Efficiency Retrofit Program will provide energy efficiency upgrades to City-owned buildings. The program will reduce energy use and greenhouse gas emissions by providing improvements to lighting, HVAC units, boilers, chillers, domestic hot water (DHW) systems, and building management systems (BMS). Projects will focus on underfunded General Fund City departments which serve critical community benefits, such as, the Department of Public Health (DPH), the Sheriff's Department (SHF), and the Arts Commission (ART). The project will also support a Mayor's Office (MO) community center, i.e., the Ella Hill Hutch Center.

The program is expected to create jobs while providing environmental benefits. It's estimated that the program will create approximately 34 job-years, reduce electricity usage by 633,524 kWh/yr, decrease natural gas consumption by 17,613 therms/yr, and reduce greenhouse gas emissions by 446 tons CO2e/yr.

A summary of projects is listed below.

Location	Dept	Improvement	Budget
Southeast Health Center (2401 Keith St.)	DPH	HVAC	\$987,145
Ocean Park Health Center (1351 24th Ave.)	DPH	HVAC	\$1,012,315
County Jails #8 & #9 (425 7th St.)	SHF	Chiller and BMS	\$708,776
County Jail #5 (1 Moreland, San Bruno)	SHF	Lighting	\$95,770
Women's Reentry Center (930 Bryant St.)	SHF	Lighting, Boiler, DHW	\$49,090
African American Cultural Center (762 Fulton St.)	ART	Lighting and HVAC	\$33,893
Mission Cultural Center (2868 Mission St.)	ART	Lighting and HVAC	\$12,096
SomArts Cultural Center (934 Brannan St.)	ART	Lighting and HVAC	\$11,151
Ella Hill Hutch Center (1050 McAllister St.)	MO	Lighting and HVAC	\$206,689
TOTAL			\$3,116,925



EECBG Activity Worksheet

Grantee: San Francisco Public Utilities Commission (SFPUC) Date: 06/16/2009
 DUNS #: 38856845 Program Contact Email: golson@sfgwater.org
 Program Contact First Name: Gregg Last Name: Olson
 Project Title: Community Resilience
 Activity: 4. Financial Incentive Program If Other: _____
 Sector: Residential If Other: _____
 Proposed Number of Jobs Created: 52.40 Proposed Number of Jobs Retained: 0.00
 Proposed Energy Saved and/or Renewable Energy Generated: 190,720 therms/yr
 Proposed GHG Emissions Reduced (CO2 Equivalents): 1,115.000
 Proposed Funds Leveraged: \$2,654,500.00
 Proposed EECBG Budget: 2,169,226.00
 Projected Costs Within Budget: Administration: \$92,637.00 Revolving Loans: \$616,404.00 Subgrants: \$0.00
 Project Contact First Name: Cal Last Name: Broomhead Email: cal.broomhead@sfgov.org
 Metric Activity: Building Retrofits If Other: _____

Project Summary: *(limit summary to space provided)*

Education program participants: 7000
 Home assessments: 1400
 Home performance retrofits: 433
 Annual Greenhouse Gas emissions reduced: 1,115 tons CO2e/yr

The Community Resilience program leverages an existing City program to organize neighborhoods around various issues including public safety and disaster preparedness to make our communities more resilient to disasters. This program will add a climate, energy, water, composting, and victory garden awareness and action component to increase resiliency to resource shortages, price increases, etc. The program addresses the needs of tenants and owners of small buildings: single-family and 2-4 unit buildings (San Francisco has 25% of all 2-4 unit buildings in California) typically owned by a single landlord owning a single or a small number of buildings, often living in one of the units. Local community based organizations will provide education through presentations at meetings and special events. For home owners and tenants, this program will provide comprehensive Home Resiliency assessments upon request. For home owners and 2-4 unit building owners it will provide incentives to contractors for home performance retrofits that achieve specified reduction targets. To qualify for the incentive, each project must improve their Home Energy Rating score and add other simple measures that conform to the City's goals, e.g. water conservation measures. A revolving loan fund will be used to develop an appropriate financing program.



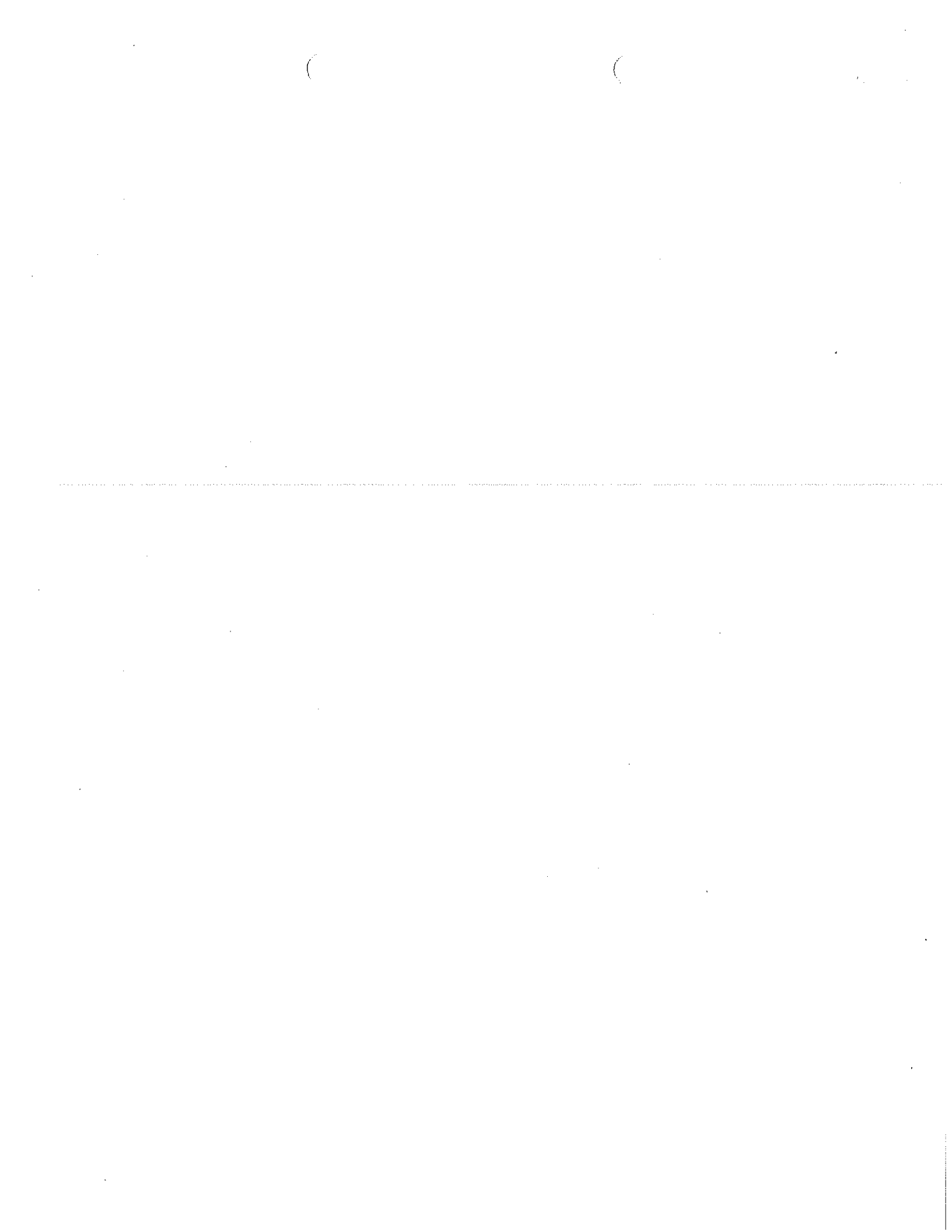
EECEBG Activity Worksheet

Grantee: San Francisco Public Utilities Commission (SFPUC) Date: 06/16/2009
 DUNS #: 38856845 Program Contact Email: golson@sfgwater.org
 Program Contact First Name: Gregg Last Name: Olson
 Project Title: Heating Systems
 Activity: 4. Financial Incentive Program If Other: _____
 Sector: Residential If Other: _____
 Proposed Number of Jobs Created: 74.40 Proposed Number of Jobs Retained: 0.00
 Proposed Energy Saved and/or Renewable Energy Generated: 399,000 therms/yr
 Proposed GHG Emissions Reduced (CO2 Equivalents): 2,332.000
 Proposed Funds Leveraged: \$4,389,000.00
 Proposed EECEBG Budget: 2,453,149.00
 Projected Costs Within Budget: Administration: \$104,762.00 Revolving Loans: \$0.00 Subgrants: \$0.00
 Project Contact First Name: Cal Last Name: Broomhead Email: cal.broomhead@sfgov.org
 Metric Activity: Building Retrofits If Other: _____

Project Summary: *(limit summary to space provided)*

Projects: 133 heating systems retrofitted
 Annual Greenhouse Gas Emissions reduced: 2,332 tons CO2e/yr

This program is designed to address hot water and heating systems in old multi-family buildings that still have an original low-pressure steam boiler, though other heating systems may be addressed in the program. The systems are typically maintained by a contracted service called in response to complaints and preventive maintenance is infrequent. The heating systems typically need tuning as well as retrofits and/or replacements of the hardware. The primary barrier to heating system retrofits is the high up front cost to abate asbestos and meet other codes that have been changed since the original installation. This program will add significant incentive funds to overcome that barrier. It will also leverage the existing ratepayer funded program that currently provides technical assistance and a small amount of incentives. Under this program, City staff provides technical pre-assessments of lighting and HVAC systems and arranges for program contractors to make detailed bids that include incentives. This program will coordinate with the City's tax-lien financing program now in development. The incentives, together with the financing, will make many projects cash-flow positive in the first year.



Opportunity Title:	Recovery Act ? Energy Efficiency and Conservation Block
Offering Agency:	National Energy Technology Laboratory
CFDA Number:	81.128
CFDA Description:	Energy Efficiency & Conservation Block Grant Program
Opportunity Number:	DE-FOA-0000013
Competition ID:	
Opportunity Open Date:	03/26/2009
Opportunity Close Date:	06/25/2009
Agency Contact:	Sue Miltenberger Contract Specialist E-mail: EECBG@netl.doe.gov

This electronic grants application is intended to be used to apply for the specific Federal funding opportunity referenced here.

If the Federal funding opportunity listed is not the opportunity for which you want to apply, close this application package by clicking on the "Cancel" button at the top of this screen. You will then need to locate the correct Federal funding opportunity, download its application and then apply.

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

* Application Filing Name:

Mandatory Documents

Other Attachments Form

Move Form to Complete

Move Form to Delete

Mandatory Documents for Submission

Application for Federal Assistance (SF-424)

Project/Performance Site Location(s)

Optional Documents

Disclosure of Lobbying Activities (SF-LLL)

Move Form to Submission List

Move Form to Delete

Optional Documents for Submission

Instructions

- 1** Enter a name for the application in the Application Filing Name field.

 - This application can be completed in its entirety offline; however, you will need to login to the Grants.gov website during the submission process.
 - You can save your application at any time by clicking the "Save" button at the top of your screen.
 - The "Save & Submit" button will not be functional until all required data fields in the application are completed and you clicked on the "Check Package for Errors" button and confirmed all data required data fields are completed.
- 2** Open and complete all of the documents listed in the "Mandatory Documents" box. Complete the SF-424 form first.

 - It is recommended that the SF-424 form be the first form completed for the application package. Data entered on the SF-424 will populate data fields in other mandatory and optional forms and the user cannot enter data in these fields.
 - The forms listed in the "Mandatory Documents" box and "Optional Documents" may be predefined forms, such as SF-424, forms where a document needs to be attached, such as the Project Narrative or a combination of both. "Mandatory Documents" are required for this application. "Optional Documents" can be used to provide additional support for this application or may be required for specific types of grant activity. Reference the application package instructions for more information regarding "Optional Documents".
 - To open and complete a form, simply click on the form's name to select the item and then click on the ==> button. This will move the document to the appropriate "Documents for Submission" box and the form will be automatically added to your application package. To view the form, scroll down the screen or select the form name and click on the "Open Form" button to begin completing the required data fields. To remove a form/document from the "Documents for Submission" box, click the document name to select it, and then click the <= button. This will return the form/document to the "Mandatory Documents" or "Optional Documents" box.
 - All documents listed in the "Mandatory Documents" box must be moved to the "Mandatory Documents for Submission" box. When you open a required form, the fields which must be completed are highlighted in yellow with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message.
- 3** Click the "Save & Submit" button to submit your application to Grants.gov.

 - Once you have properly completed all required documents and attached any required or optional documentation, save the completed application by clicking on the "Save" button.
 - Click on the "Check Package for Errors" button to ensure that you have completed all required data fields. Correct any errors or if none are found, save the application package.
 - The "Save & Submit" button will become active; click on the "Save & Submit" button to begin the application submission process.
 - You will be taken to the applicant login page to enter your Grants.gov username and password. Follow all onscreen instructions for submission.

Application for Federal Assistance SF-424		Version 02	
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: Completed by Grants.gov upon submission.	4. Applicant Identifier: <input type="text"/>		
5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>		
State Use Only:			
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>		
8. APPLICANT INFORMATION:			
* a. Legal Name: San Francisco Public Utilities Commission			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 94-6000417	* c. Organizational DUNS: 038856845		
d. Address:			
* Street1:	1155 Market Street		
Street2:	4th Floor		
* City:	San Francisco		
County:	<input type="text"/>		
* State:	CA: California		
Province:	<input type="text"/>		
* Country:	USA: UNITED STATES		
* Zip / Postal Code:	94103		
e. Organizational Unit:			
Department Name: SFPUC	Division Name: Power Enterprise		
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix: Mr.	* First Name: Manuel	<input type="text"/>	
Middle Name:	<input type="text"/>		
* Last Name: Ramirez	<input type="text"/>		
Suffix:	<input type="text"/>		
Title: Project Manager	<input type="text"/>		
Organizational Affiliation: SFPUC			
* Telephone Number: 415 554 1538	Fax Number: 415 554 1854	<input type="text"/>	
* Email: mramirez@sewater.org			

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

National Energy Technology Laboratory

11. Catalog of Federal Domestic Assistance Number:

81.128

CFDA Title:

Energy Efficiency & Conservation Block Grant Program

*** 12. Funding Opportunity Number:**

DE-FOA-0000013

* Title:

Recovery Act ? Energy Efficiency and Conservation Block Grants ? Formula Grants

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

City and County of San Francisco, CA

*** 15. Descriptive Title of Applicant's Project:**

Municipal Buildings Energy Efficiency Program; Community Resilience Program;

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="7,739,300.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="7,739,300.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

[Empty text input area for Applicant Federal Debt Delinquency Explanation]

Project/Performance Site Location

Project/Performance Site Primary Location I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: San Francisco Public Utilities Commission

DUNS Number: 0388568450000

* Street1: 1155 Market Street

Street2: 4th Floor

* City: San Francisco County:

* State: CA: California

Province:

* Country: USA: UNITED STATES

* ZIP / Postal Code: 94103-5522 * Project/ Performance Site Congressional District: CA-008

Project/Performance Site Location 1 I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country: USA: UNITED STATES

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Opportunity Title:	Recovery Act ? Energy Efficiency and Conservation Block
Offering Agency:	National Energy Technology Laboratory
CFDA Number:	81.128
CFDA Description:	Energy Efficiency & Conservation Block Grant Program
Opportunity Number:	DE-FOA-0000013
Competition ID:	
Opportunity Open Date:	03/26/2009
Opportunity Close Date:	06/25/2009
Agency Contact:	Sue Miltenberger Contract Specialist E-mail: EECSBG@netl.doe.gov

This electronic grants application is intended to be used to apply for the specific Federal funding opportunity referenced here.

If the Federal funding opportunity listed is not the opportunity for which you want to apply, close this application package by clicking on the "Cancel" button at the top of this screen. You will then need to locate the correct Federal funding opportunity, download its application and then apply.

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

* Application Filing Name:

Mandatory Documents	
Other Attachments Form	Move Form to Complete
Project/Performance Site Location(s)	Move Form to Delete

Mandatory Documents for Submission
Application for Federal Assistance (SF-424)

Optional Documents	
Disclosure of Lobbying Activities (SF-LLL)	Move Form to Submission List
	Move Form to Delete

Optional Documents for Submission

Instructions

- 1 Enter a name for the application in the Application Filing Name field.**

 - This application can be completed in its entirety offline; however, you will need to login to the Grants.gov website during the submission process.
 - You can save your application at any time by clicking the "Save" button at the top of your screen.
 - The "Save & Submit" button will not be functional until all required data fields in the application are completed and you clicked on the "Check Package for Errors" button and confirmed all data required data fields are completed.
- 2 Open and complete all of the documents listed in the "Mandatory Documents" box. Complete the SF-424 form first.**

 - It is recommended that the SF-424 form be the first form completed for the application package. Data entered on the SF-424 will populate data fields in other mandatory and optional forms and the user cannot enter data in these fields.
 - The forms listed in the "Mandatory Documents" box and "Optional Documents" may be predefined forms, such as SF-424, forms where a document needs to be attached, such as the Project Narrative or a combination of both. "Mandatory Documents" are required for this application. "Optional Documents" can be used to provide additional support for this application or may be required for specific types of grant activity. Reference the application package instructions for more information regarding "Optional Documents".
 - To open and complete a form, simply click on the form's name to select the item and then click on the => button. This will move the document to the appropriate "Documents for Submission" box and the form will be automatically added to your application package. To view the form, scroll down the screen or select the form name and click on the "Open Form" button to begin completing the required data fields. To remove a form/document from the "Documents for Submission" box, click the document name to select it, and then click the <= button. This will return the form/document to the "Mandatory Documents" or "Optional Documents" box.
 - All documents listed in the "Mandatory Documents" box must be moved to the "Mandatory Documents for Submission" box. When you open a required form, the fields which must be completed are highlighted in yellow with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message.
- 3 Click the "Save & Submit" button to submit your application to Grants.gov.**

 - Once you have properly completed all required documents and attached any required or optional documentation, save the completed application by clicking on the "Save" button.
 - Click on the "Check Package for Errors" button to ensure that you have completed all required data fields. Correct any errors or if none are found, save the application package.
 - The "Save & Submit" button will become active; click on the "Save & Submit" button to begin the application submission process.
 - You will be taken to the applicant login page to enter your Grants.gov username and password. Follow all onscreen instructions for submission.

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify) <input type="text"/>
---	---	---

* 3. Date Received: Completed by Grants.gov upon submission.	4. Applicant Identifier: <input type="text"/>
--	---

5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>
---	--

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
--	--

8. APPLICANT INFORMATION:

* a. Legal Name: San Francisco Public Utilities Commission		
* b. Employer/Taxpayer Identification Number (EIN/TIN): 94-6000417	* c. Organizational DUNS: 038856845	

d. Address:

* Street1:	1155 Market Street
Street2:	4th Floor
* City:	San Francisco
County:	
* State:	CA: California
Province:	
* Country:	USA: UNITED STATES
* Zip / Postal Code:	94103

e. Organizational Unit:

Department Name: SFPUC	Division Name: Power Enterprise
----------------------------------	---

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Mr.	* First Name: Manuel
Middle Name:	
* Last Name: Ramirez	
Suffix:	

Title: Project Manager

Organizational Affiliation: SFPUC

* Telephone Number: 415 554 1538	Fax Number: 415 554 1854
---	---------------------------------

* Email: mramirez@sewater.org

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

National Energy Technology Laboratory

11. Catalog of Federal Domestic Assistance Number:

81.128

CFDA Title:

Energy Efficiency & Conservation Block Grant Program

*** 12. Funding Opportunity Number:**

DE-FOA-0000013

* Title:

Recovery Act ? Energy Efficiency and Conservation Block Grants ? Formula Grants

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

City & County of San Francisco, California

*** 15. Descriptive Title of Applicant's Project:**

Building Improvements - Energy Savings; Community Resilience Program;

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="7,739,300.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="7,739,300.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

[Empty text input area for Applicant Federal Debt Delinquency Explanation]

(

(

Applicant Name: _____

Award Number: _____

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary		Estimated Unobligated Funds			New or Revised Budget		Total	
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	(c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	(g)	(g)	
1. Community Resilience				\$2,169,226	\$2,654,500	\$4,823,726	\$4,823,726	
2. Heating Systems				\$2,453,149	\$4,389,000	\$6,842,149	\$6,842,149	
3. Municipal Buildings				\$3,116,925		\$3,116,925	\$3,116,925	
4.							\$C	
5. Totals		\$0	\$0	\$7,739,300	\$7,043,500	\$14,782,800	\$14,782,800	
Section B - Budget Categories								
6. Object Class Categories		Grant Program, Function or Activity						Total (5)
		(1)	(2)	(3)	(4)	(5)	(6)	
a. Personnel		\$406,411	\$312,838	\$15,662		\$734,911	\$734,911	
b. Fringe Benefits		\$186,299	\$143,405	\$7,179		\$336,883	\$336,883	
c. Travel		\$2,580	\$0	\$0		\$2,580	\$2,580	
d. Equipment		\$0	\$1,515,849	\$0		\$1,515,849	\$1,515,849	
e. Supplies		\$26,833	\$62,796	\$0		\$89,629	\$89,629	
f. Contractual		\$3,213,344	\$580,474	\$0		\$3,793,818	\$3,793,818	
g. Construction		\$0	\$0	\$0		\$C	\$C	
h. Other (includes Revolving Fund = \$616,404)		\$630,016	\$0	\$0		\$630,016	\$630,016	
i. Total Direct Charges (sum of 6a-6h)		\$4,465,483	\$2,615,361	\$22,840	\$0	\$7,103,684	\$7,103,684	
j. Indirect Charges		\$231,562	\$384,790	\$19,264		\$635,616	\$635,616	
k. Totals (sum of 6i-6j)		\$4,697,045	\$3,000,151	\$42,104	\$0	\$7,739,300	\$7,739,300	
7. Program Income		\$0	\$0	\$0		\$0	\$0	

Section C - Non-Federal Resources					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals	
8. Building owners' private funding	\$0	\$0	\$6,644,500	\$6,644,500	
9. California Public Benefits Energy Efficiency program		\$399,000		\$399,000	
10.				\$0	
11.				\$0	
12. Total (sum of lines 8 - 11)	\$0	\$399,000	\$6,644,500	\$7,043,500	

Section D - Forecasted Cash Needs					
	Total for 1st Year	Future Funding Periods (Years)			4th quarter
		1st Quarter	2nd Quarter	3rd Quarter	
13. Federal	\$4,697,045	1,174,261	1,174,261	1,174,261	1,174,261
14. Non-Federal	\$3,521,750	\$880,438	\$880,438	\$880,438	\$880,438
15. Total (sum of lines 13 and 14)	\$8,218,795	\$2,054,699	\$2,054,699	\$2,054,699	\$2,054,699

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project					
(a) Grant Program	Future Funding Periods (Years)			(e) Fourth	
	(b) First	(c) Second	(d) Third		
16. Community Resilience	\$2,169,226	\$0	\$0	\$0	
17. Heating Systems	\$2,453,149	\$0	\$0	\$0	
18. Municipal Buildings Program	\$74,670	\$3,000,151	\$42,104	\$42,104	
19.					
20. Total (sum of lines 16-19)	\$4,697,045	\$3,000,151	\$42,104	\$42,104	

Section F - Other Budget Information	
21. Direct Charges	7103684
22. Indirect Charges	635616

23. Remarks
 SFPUC's cost structure is similar to the SF Department of Public Works (DPW). DPW's Indirect Cost Plan has been approved by the U.S. Department of Transportation.

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 and maintaining 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 address 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 later 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 forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not 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 programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both 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 for new 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 supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

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.

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

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.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column

(a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

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

Section F. Other Budget Information

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

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

Line 23—Provide any other explanations or comments deemed necessary.

**EECBG
Attachment D. (Strategy)
Draft 6.17.09**

Energy Efficiency & Conservation Strategy for Units of Local Governments & Indian Tribes

As detailed in Part 1 of this announcement, all applicants must submit an Energy Efficiency and Conservation Strategy (EECS). Units of local government and Indian tribes have the option of submitting the EECS no later than 120 days after the effective date of the award or at the time of application. Units of local government and Indian tribes who chose to submit the EECS at the time of application shall use the format contained in Attachment D. This form should be saved in a file named "UIC-Strategy.pdf" and click on "Add Optional Other Attachment" to attach.

Grantee: City and County of San Francisco/San Francisco Public Utilities Commission

Date: 6/25/09

DUNS #: 38856845

Program Contact Email: golson@sfwater.org

1. Describe your government'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 community-wide. Provide a schedule or timetable for major milestones. If your government has an existing energy, climate, or other related strategy please describe how these strategies relate to each other.

The City and County of San Francisco (CCSF) proposes to implement programs to improve the energy efficiency of buildings in the residential and municipal (public) sectors. These programs include several Eligible Activities as defined in the EECBG Funding Opportunity Announcement, including 3.) Residential and Commercial Building Energy Audits, 4.) Financial Incentive Programs, and 6.) Energy Efficiency and Conservation Programs for Buildings and Facilities.

Goals and Objectives:

These programs support the CCSF's overall greenhouse gas (GHG) emissions reduction goal of 20% below 1990 levels by 2012. Recommended actions to meet this goal are described in San Francisco's Climate Action Plan.

www.sfenvironment.org/downloads/library/climateactionplan.pdf.

The programs initiated under the EECBG will support the energy efficiency actions described in the Plan under "Increase Incentives, Direct Installation and Technical Assistance".

CCSF's energy efficiency programs will serve two sectors: Residential and Municipal (Public).

Residential Sector Program

The objective of the Residential Sector program is to create jobs while reducing greenhouse gas emissions through natural gas savings in residential sector buildings. CCSF will reduce

residential natural gas usage using two approaches designed to change behavior and retrofit residential buildings in two market sub-sectors, multi-family (typically very old low-pressure steam boilers) and small residential: single family and 2-4 unit buildings (typically forced air furnaces).

This program will leverage San Francisco's existing private sector energy efficiency program funded by the California Public Goods Charge (CPGC). It will create 127 jobs that will be sustainable beyond the EECBG funding. It will educate at least 7,000 residents, perform assessments on over 1,500 homes, retrofit 433 homes, and retrofit heating systems of 133 multi-family buildings. This proposed program will reduce annual GHG emissions by 3,447 tons CO₂e/year in natural gas emissions. The Residential Sector Program has two components; 1) Heating Systems, and 2) Community Resilience.

Municipal Sector Program

The objective of the Municipal Sector program is to increase energy efficiency and reduce GHG emissions in municipal facilities through implementing lighting and HVAC retrofit projects. CCSF will identify and implement upgrades in several San Francisco General Fund-supported departments, including Public Health, Sheriff, Arts Commission, and Mayor's Office facilities. Proposed projects include two health centers, two jail facilities, a women's reentry center, three cultural centers, and a community center.

The program will reduce electricity use by 633,524 kWh/year and natural gas use by 17,613 therms/year. This will result in a GHG emissions reduction of 892,015 lbs (446 tons) CO₂e/year. In addition to long term energy savings and reduced greenhouse gas emissions, project benefits include improved lighting quality and thermal comfort for building occupants, and the creation of an estimated 34 jobs.

Milestones: (from award date)

Residential Sector Program

30 days: Provide additional technical assistance and commit EECBG incentives to already identified projects (Heating Systems).

45 days: Begin providing additional technical assistance and committing incentives to newly identified projects (Heating Systems).

60 days: First home performance project completed (Community Resilience).

90 days: First Home Resiliency Assessment completed (Community Resilience).

24 months: Final project completed and incentive paid. (Heating Systems). Last home assessment and last performance retrofit incentive paid. (Community Resilience).

26 months: Closeout and reporting to USDOE complete.

Municipal Sector Program

6 months: All projects in audit phase.

12 months: All projects in design phase.

18 months: All EECBG funds encumbered.

24 months: All projects in construction phase.

36 months: Closeout of all projects and reporting to USDOE complete.

2. Describe your government'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.

Residential Sector Program

A) Heating Systems:

This program is designed to address hot water and heating systems in primarily multi-family buildings, though it may include a few small and mid-sized commercial buildings.

These buildings systems typically need a retro-commissioning approach, tuning existing controls and retrofits and/or replacements of the hardware. This program will add significant incentive funds to overcome the first cost barrier. It will also leverage the existing California Public Goods Charge (CPGC) funded program, providing technical assistance and a small amount of incentives. City staff provides technical pre-assessments of lighting and HVAC systems and arrange for program contractors to make detailed bids that include the CPGC and EECBG incentive.

This program supports the City's greenhouse gas (GHG) reduction goals by reducing natural gas usage primarily in multi-family buildings and some smaller commercial buildings through retrofits of hot water and heating systems (primarily low-pressure steam boilers). This program adds incentive funds to measures already offered by the existing energy efficiency program but frequently not accepted by building owners due to high costs.

Metrics:

Annual Energy Saved: 399,000 therms/year (3,000 therms per project average);

GHG emissions reduced: 2,332 tons CO₂e/year

FTE jobs created: 74 with contractors (journey and apprentice plumbers and steam fitters)

Funds leveraged: \$4,389,000 from CPGC and Private funds

Projects: 133 heating systems retrofitted

B) Community Resilience:

The Community Resilience program leverages an existing City program to organize neighborhoods around various issues including public safety and disaster preparedness to make our communities more resilient to disasters. This program will add a climate, energy, water, composting, and victory garden awareness and action component to increase the resiliency to resource shortages, price increases, etc. The program addresses the needs of tenants and owners of small buildings: single-family and 2-4 unit buildings. San Francisco has 25% of all 2-4 unit buildings in California, typically owned by a single landlord owning a single or a small number of buildings, often living in one of the units. This program will provide comprehensive Home Resiliency assessments upon request and performance retrofit incentives to contractors for energy efficiency work in single-family and 2-4 unit buildings. To qualify for the incentive, each project must perform to a minimum energy standard and add other simple measures that conform to City goals (e.g. water conservation). For tenants, the program will provide education

through presentations at meetings and special events. City staff will manage and monitor the education and home assessment program. The education and assessment work will be provided by local community-based organizations. A revolving loan fund will be used to develop an appropriate financing program.

This program supports the City's GHG reduction goals by educating homeowners and small residential building owners, and provides incentives for home performance retrofits.

Metrics:

Annual Energy savings: 190,720 therms/year

GHG emissions reduced: 1,115 tons CO₂e/year

Jobs created: 52 with contractors (home performance analyst, weatherization installer, HVAC)

Funds leveraged: \$3,242,000 from Private funds

Education program participants: 7,000

Home assessments: 1,400

Home performance retrofits: 433

Municipal Sector Program:

The Municipal Sector program will increase energy efficiency and reduce GHG emissions in municipal sector facilities through implementing lighting and HVAC retrofit projects. CCSF will identify and implement energy efficiency upgrades in several San Francisco General Fund-supported departments, including Public Health, Sheriff, Arts Commission, and Mayor's Office facilities. Proposed projects include two health centers, two jail facilities, a women's reentry center, three cultural centers, and a community center. Project summaries are provided below.

Project implementation will include all labor, equipment and materials for complete project construction including:

- energy audits complete with project cost and energy savings estimates
- all engineering and design
- energy efficiency design review to maximize on energy savings
- bid specifications, scopes of work, RFPs (as appropriate)
- construction bids
- bid reviews
- construction contracts
- construction (by licensed contractor)
- construction management, monitoring and inspection

This program supports the City's GHG reduction goals by performing direct installation of energy efficient HVAC and lighting equipment in municipal facilities.

Metrics:

Annual Energy Savings:

Electricity: 633,524 kWh/year

Natural Gas: 17,613 therms/year

GHG emissions reduced:

446 tons CO₂e/year

Jobs created: 34

1) Southeast Health Center

The Southeast Health Center is located in San Francisco's Bayview Hunters Point neighborhood. The single-story, 14,600 square foot building was constructed in the 1970s and provides health services to both the general public and the special needs of the immediate community.

The existing heating and ventilation (HVAC) system is at the end of its useful life, and is inefficient and outdated for a clinic facility. The project includes the replacement of the existing HVAC system with a more energy efficient system, including new rooftop units, variable air volume (VAV) boxes and controls.

2) Ocean Park Health Center

The Ocean Park Health Center is located in San Francisco's Sunset neighborhood. The two-story, 16,250 square foot building was constructed in the 1960s and is home to various health services serving both the general public and the special needs of the immediate community.

The existing heating and ventilation (HVAC) system is at the end of its useful life, and is inefficient and outdated for a clinic facility. The project includes the replacement of the existing HVAC system with a more energy efficient system, including new rooftop units, variable air volume (VAV) boxes and controls.

3) County Jails 8 and 9

County Jails 8 and 9 are located at 425 7th Street in San Francisco. The facility houses approximately 442 inmates, and is a national model for program-oriented prisoner rehabilitation.

The scope of the project includes replacement of the air cooled chiller and installation of a new graphic interface-based energy management system (EMS). With the installation of the new EMS system and new energy efficient chiller, the system will operate fewer hours, while more closely following the actual building heat load requirement. The operational efficiency of all other HVAC equipment will be improved while overall energy use will be reduced.

4) County Jail 5

The San Francisco Sheriff's Department operates County Jail 5 in San Bruno. The facility houses approximately 372 prisoners.

The project is a lighting efficiency retrofit project. It will upgrade existing fluorescent fixtures throughout the facility with efficient T8 lamps and electronic ballasts. Inefficient metal halide fixtures will be replaced with suspended fluorescent fixtures. Dormitory fixtures containing halogen lamps will be retrofitted with compact fluorescent lamps. Exit signs will be upgraded to efficient LED sources.

5) Women's Reentry Center

The San Francisco Sheriff's Department operates the Women's Reentry Center at 930 Bryant Street in San Francisco. The facility provides transitional support for women who have recently been released from jail. The center provides services to approximately 800 women per year.

The project includes a lighting efficiency retrofit, which will upgrade existing fluorescent fixtures throughout the facility with efficient T8 lamps and electronic ballasts. The number of lamps per fixture will be reduced in areas which are overlit.

The project will replace the existing gas-fired boiler, which is used to provide hot water for building air heating, with a new more efficient water tube condensing type boiler with a time clock that will turn off the system after business hours.

The project will replace the existing electric domestic hot water system with a gas-fired instantaneous water heater. This change involves modification of the existing hot water piping arrangement.

6) African American Art and Culture Complex

The African American Art and Culture Complex (AAACC) is housed in a 34,000 square foot building constructed in 1938, and was originally the home of the Acme Brewery. The building consists of a theater, dance studios, an art gallery, a sound recording studio, and various classrooms.

The project will upgrade existing fluorescent light fixtures throughout the facility with efficient T8 lamps and electronic ballasts, and replace incandescent lamps with more efficient compact fluorescent and LED sources. Local occupancy-based controls will also be installed.

Existing HVAC units are currently controlled solely by manual thermostats, not subject to scheduling control. The project will install programmable thermostats for two HVAC units (a small rooftop unit and a forced air furnace).

7) Mission Cultural Center

Established in 1977, the Mission Cultural Center for Latino Arts (MCCLA) works to promote, preserve and develop Latino arts and culture. Programs include theater, music, film and video, poetry readings, cultural forums and media panels. The center houses a theater, performing and visual art studios, a print screen facility, and gallery, which presents local and international

exhibitions throughout the year that target audiences not traditionally reached by mainstream museums and galleries.

The project will upgrade existing fluorescent light fixtures throughout the facility with efficient T8 lamps and electronic ballasts. It will also replace incandescent lamps with more efficient compact fluorescent lamps. Local occupancy-based controls will also be installed.

The facility is conditioned by gas heating and ventilating units. The project will replace the existing time clock on an air handling unit with a new programmable thermostat.

8) SomArts Cultural Center

SomArts Cultural Center occupies a total of 17,844 square feet. The Cultural Center has 3 large areas available for public use as well as several smaller meeting areas, studio, dance, classroom and rehearsal space.

The project will replace existing manually controlled thermostats on heating units with new programmable thermostats.

The project will also upgrade existing fluorescent light fixtures throughout the facility with efficient T8 lamps and electronic ballasts, and replace incandescent lamps with more efficient compact fluorescent lamps. Local occupancy-based controls will be installed.

9) Ella Hill Hutch Community Center

The Ella Hill Hutch Community Center is a public recreational facility. The facility was opened in 1981 and consists of meeting space, offices, a recreational gymnasium, and a Head Start daycare center for the community.

The project will replace two large rooftop gas heating and ventilating units with higher efficiency units and install programmable thermostats for all 10 HVAC units (2 new, 8 existing). The project will also install a timer control to reduce the hot water pump runtime hours to coincide with the occupied hours of the facility.

The project will upgrade existing fluorescent light fixtures throughout the facility with efficient T8 lamps and electronic ballasts, and reduce the number of fluorescent lamps per fixture where appropriate. The project will replace recessed mercury vapor lamps with efficient suspended direct/indirect and surface mounted fluorescent fixtures. Local occupancy-based controls will also be installed.

3. Describe how your government is taking into account the proposed implementation plans and activities for use of funds by adjacent units of local government that are grant recipients under the Program (response not mandatory for Indian Tribes).

CCSF is an active member of several statewide and regional activities involving local governments, often taking a leadership role in advocacy, policy development and resource sharing, working in close contact with other local governments. The City is an active member of the Local Government Sustainable Energy Coalition, a group of local government representatives from all over California that meets quarterly to discuss and collaborate on energy efficiency and renewable energy issues. CCSF regularly participates with other local governments in regional events on climate through ICLEI and the Bay Area Air Quality Management District.

We have shared our residential sector program proposals with our neighboring county, San Mateo County. CCSF will collaborate with San Mateo County on standards, incentive levels and training for home performance.

CCSF's residential sector program proposals have also been shared with other Bay Area local governments including City of Berkeley, City of Oakland, City of San Jose, County of Alameda, County of Santa Clara, County of Marin and County of Sonoma.

With respect to the development of the tax lien revolving financing program described under the Community Resilience program, CCSF staff has participated in numerous discussions and workshops with other Bay Area jurisdictions and other state and local agencies to formulate the most advisable approach to such a program both on the local level and in concert with other local, state and federal policies encouraging the financing of such activities.

4. Describe how your government will coordinate and share information with the state in which you are located regarding activities carried out with grant funds to maximize energy efficiency and conservation benefits (response not mandatory for Indian Tribes).

The City and County of San Francisco (CCSF) already participates in a broad array of statewide energy efficiency related activities. CCSF regularly comments to the California Public Utilities Commission (CPUC) on energy efficiency and renewable energy issues and has actively participated in a series of workshops to create the California Energy Efficiency Strategic Plan. Staff chaired one of the subcommittees. The City also frequently communicates with staff of the California Energy Commission (CEC) on local codes, home performance, ocean energy, wind, and solar. The City also commented officially to the California Air Resources Board on its Climate Scoping Plan. San Francisco was the first City to register its emissions with the California Climate Action Registry and is an active member of Local Government Sustainable Energy Coalition and Green Cities California, a collective of statewide local government organizations that interact regularly with the CEC and the CPUC.

Because the Heating Systems program activity is integrated with the City's existing California Public Goods Charge (CPGC) funded program, it will be evaluated as part of that program, though savings will not be counted as part of the CPGC program. All CPGC funded projects are monitored and evaluated by the CPUC and this work will be included in that evaluation report and made available to the CEC and USDOE.

The Community Resilience program includes home performance retrofits and home assessments that will generate energy savings where estimates will be verified with post-activity (ex-post) evaluation. CCSF currently participates in the CEC initiative on Zero Net Energy Homes. The home performance program will draw on CEC as a resource to solve technical issues with 2-4 unit buildings and will report results from the field.

Finally, any local policy initiative that affects the permitting process must be approved by the CEC before the policy can be legally enforced; therefore, CCSF will confer with the CEC during the development of any policy initiative.

CCSF has attended workshops by the CEC and CPUC and provided formal comment. We have also met with technical staff and will continue to do so. We are collaborating with other local governments on a regional application for California SEP funds and for USDOE competitive funds.

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

The Residential Sector Program plans to put in place awareness, incentives and policy initiatives to increase the long term sustainability of energy savings.

First, this project will build the contractor infrastructure and develop the market acceptance in the key natural gas consuming market sectors. The projects performed with EECBG incentive funds will provide an increasing source of case studies, providing the market place with enough evidence that these retrofits are successful and low risk. This will convince more multi-family building owners and homeowners to agree to pay for this service.

Second, these projects will provide the data needed to justify the changing of the rules governing the use of the existing California Public Goods Charge (CPGC) incentive funds. A successful rules change would increase the quantity of CPGC funds to be used on each project, increasing the number of retrofits performed.

Third, a tax-lien financing program will allow private building owners to borrow project funds through the City and re-pay the loan through a supplemental property tax payment stretched over a 20-year period. This will make most projects cash positive in the first year of the retrofit, a criterion that make it attractive to landlords and homeowners concerned about their cash flow. A tax-lien financing system will be in place this year (2009).

Finally, concomitantly with the EECBG funded programs, CCSF will develop policy initiatives to require retrofits. For example, the City's existing Residential Energy Conservation Ordinance requires installation of some energy and water efficiency measures at time-of-sale. This ordinance could be amended to require a home performance analysis and the disclosure of the results to the buyer and the City. In the multi-family sector, CCSF may add additional heating system performance metrics to the annual boiler inspection currently performed by the Fire Department. In addition, the currently convening Commercial Building Task Force is proposing several policy options that would require retrofits. As a result, after the EECBG incentives have expired, the City's new policies would drive homeowners and building owners to utilize the existing programs to retrofit their homes and buildings.

The benefits of the projects completed under our Municipal Sector program will continue well past the EECBG funding period. The average projected lifetime of the energy efficiency measures implemented through these projects is 18 years. In addition to the direct annual electricity and natural gas savings, these projects will also provide co-benefits such as improved lighting quality, thermal comfort and indoor air quality. The experience gained through completing energy efficiency projects using alternate implementation mechanisms can be used to improve future CCSF programs.

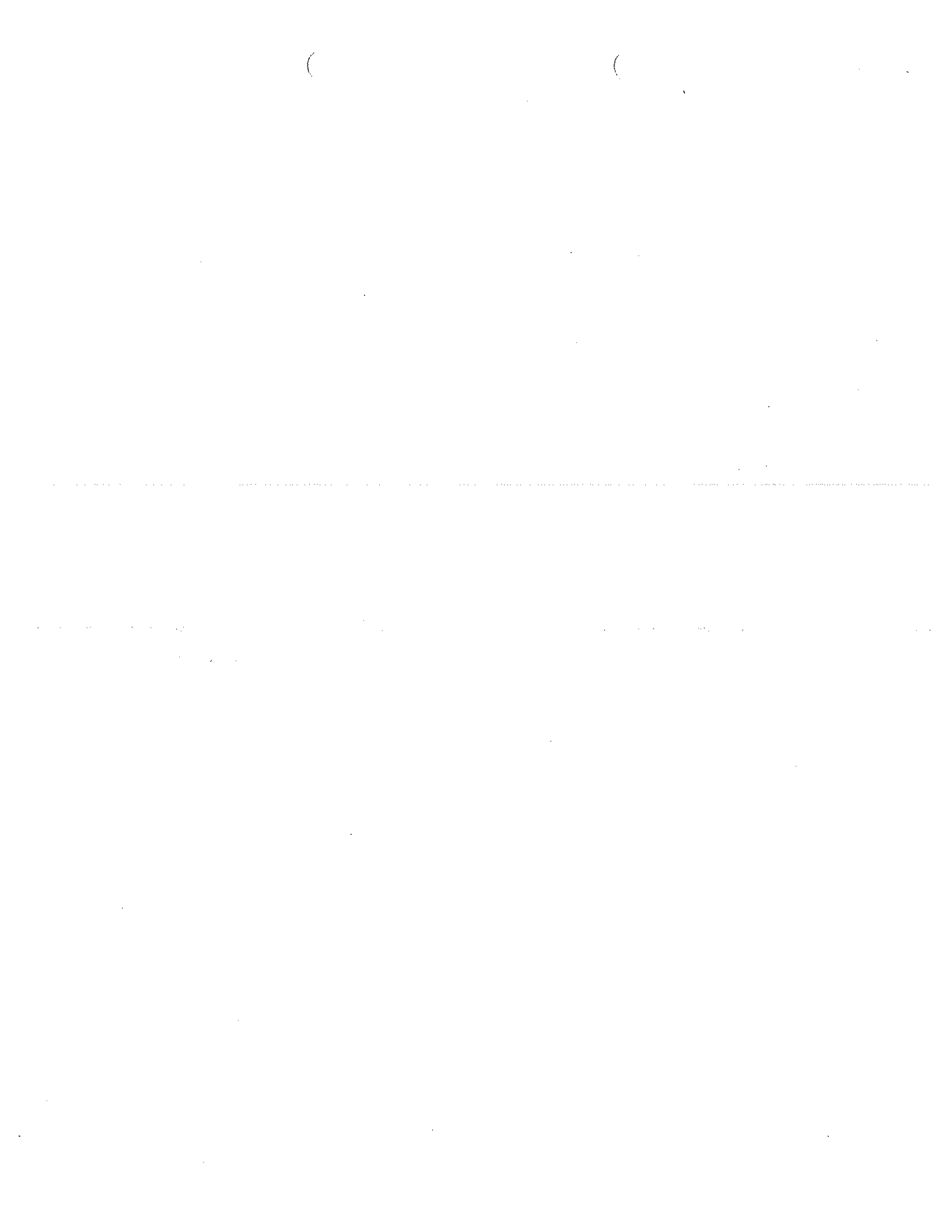
6. The President has made it clear that every taxpayer dollar spent on our economic recovery must be subject to unprecedented levels of transparency and accountability. Describe the auditing or monitoring procedures currently in place or that will be in place (by what date), to ensure funds are used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

The proposed residential sector EECBG projects will supplement the existing California Public Goods Charge (CPGC) program, where data collection and reporting are already established and monitored by the City Controller, the utility administrator (Pacific Gas & Electric), and by the California Public Utilities Commission. Both energy savings and expenditures are reported in great detail. The proposed EECBG projects will be tracked through the same systems with the same detail and rigor such that energy savings and expenditures can be separately reported.

The City and County of San Francisco (CCSF) has established a unique sub-fund specific to the ARRA, and a unique Catalog of Federal Domestic Assistance (CFDA) number will be issued, even for augmentations to existing federal formula grants.

The City's Budget Director has issued a memo stating "All departments receiving and spending ARRA funds must have strong controls in place to ensure compliance with contracting, purchasing, accounting, reconciliation, and reporting requirements. Subsequent quality reviews and Single Audits will focus on these requirements in the ARRA".

For transactions to be submitted to the City's Office of Contract Administration (OCA), CCSF is developing unique coding for the City's accounting database to identify and track ARRA funded transactions. OCA is also working with the City Attorney to develop standard templates for terms and conditions for bids and contracts using ARRA funds. Additionally, to ensure public transparency, Mayor Newsom has directed the City's Department of Technology to create a local version of the Recovery.gov website – www.recoverysf.org – to educate the public on our grant awards, public meetings and input, compliance reports, and other future reporting needs.



Engineer's Cost Estimates for Municipal Building Energy Efficiency Retrofit Program

1 - Southeast Health Center - HVAC Upgrades

Description	Cost
Boiler System	\$53,000
Rooftop Unit	\$169,000
VAV Boxes	\$82,000
Exhaust fans	\$54,000
Ductwork	\$50,000
Controls	\$32,000
Miscellaneous Items (incl spare parts)	\$22,000
Sales Tax (at 9.50%)	\$43,890
Contractor/Subcontractor costs	\$177,062
Construction	\$682,952
Preliminary Engineering and Design	\$166,375
Construction Management and Engineering	\$137,818
Total	\$987,145

2 - Ocean Park Health Center - HVAC Upgrades

Description	Cost
Boiler System	\$55,000
Rooftop Unit	\$150,884
VAV Boxes	\$85,000
Exhaust fans	\$59,400
Ductwork	\$55,000
Controls	\$35,200
Miscellaneous Items (incl spare parts)	\$24,200
Sales Tax (at 9.50%)	\$44,145
Contractor/Subcontractor costs	\$156,571
Construction	\$665,400
Preliminary Engineering and Design	\$201,591
Construction Management and Engineering	\$145,324
Total	\$1,012,315

3 - County Jails 8 & 9 - Chiller & BMS Upgrades

Description	Cost
Chiller	\$188,800
Epoxy Coating (corrosion inhibitor)	\$47,200
Coil Replacement	\$45,000
BMS Replacement	\$25,000
Demolition	\$5,500
Miscellaneous Items (incl spare parts)	\$35,000
Sales Tax	\$21,708
Contractor/Subcontractor costs	\$128,873
Construction	\$497,081
Preliminary Engineering and Design	\$121,034
Construction Management and Engineering	\$90,661
Total	\$708,776

4 - County Jail 5 - Lighting Upgrades

Description	Cost
8 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast	\$328
316 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast	\$14,220
65 lighting units: 85 CRI, Rapid Start, (4) 48" T8 Lamp with ballast	\$14,365
16 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast HLO	\$728
34 lighting units: EXIT LED (1) 2W lamp (single-sided)	\$3,502
Contractor/Subcontractor costs	\$32,679
Construction	\$65,822
Preliminary Engineering and Design	\$16,304
Construction Management and Engineering	\$13,644
Total	\$95,770

5 - Women's Reentry Center - Lighting, Boiler, and DHW Upgrades

Description	Cost
22 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$3,498
11 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast	\$495
16 lighting units: 85 CRI, Rapid Start, (3) 48" T8 Lamp with ballast NLO	\$1,152
2 lighting units: EXIT LED (1) 2W lamp (single-sided)	\$206
Hot Water Boiler Replacement	\$16,000
Boiler E-stop Switch	\$600
Gas Piping (lineal feet)	\$320
Contractor/Subcontractor costs	\$10,239
Construction	\$32,510
Preliminary Engineering and Design	\$9,122
Construction Management and Engineering	\$7,458
Total	\$49,090

6 - African American Cultural Center - Lighting Upgrades and Controls

Description	Cost
22 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$3,498
3 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast RLO	\$135
22 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with Ballast, NLO	\$1,584
46 lighting units: Compact Fluorescent, quad, 26W lamp	\$4,738
1 lighting unit: Track Lighting System	\$975
52 lighting units: 85 CRI, Rapid Start, (4) 48" T8 Lamp with Ballast NLO	\$2,340
Occupancy Sensors (25)	\$1,977
Contractor/Subcontractor costs	\$11,365
Construction	\$26,612
Preliminary Engineering and Design	\$4,009
Construction Management and Engineering	\$3,272
Total	\$33,893

7 - Mission Cultural Center - Lighting Upgrades and Controls

Description	Cost
6 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$540
18 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast RLO	\$1,044
3 lighting units: 85 CRI, Rapid Start (4) 48" T8 Lamp with Ballast	\$270

200 lighting units: Compact Fluorescent, quad 26W lamp	\$1,200
11 lighting units: Occupancy Sensors	\$743
Occupancy Sensors (2)	\$328
Programmable Thermostats (1)	\$516
Contractor/Subcontractor costs	\$3,949
Construction	\$8,590

Preliminary Engineering and Design	\$1,960
Construction Management and Engineering	\$1,546
Total	\$12,096

8 - SomArts - Lighting Upgrades and Controls

Description	Cost
6 lighting units: 85 CRI, Rapid Start (1) 48" T8 Lamp with Ballast	\$291
1 lighting unit: 85 CRI, Rapid Start (4) 24" T8 Lamp with Ballast	\$48
110 lighting units: Compact Fluorescent, quad 26W lamp	\$660
Occupancy Sensors (10)	\$1,158
Programmable Thermostats (7)	\$2,258
Contractor/Subcontractor costs	\$3,230
Construction	\$7,645

Preliminary Engineering and Design	\$1,960
Construction Management and Engineering	\$1,546
Total	\$11,151

9 - Ella Hill Hutch Community Center - Lighting and HVAC Upgrades

Description	Cost
49 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$7,791
147 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast	\$6,615
6 lighting units: 85 CRI, Rapid Start, (3) 24" T8 Lamp with ballast NLO	\$1,584
28 lighting units: Fluorescent (4) 46" T5/HO Lamp with Ballast	\$10,556
Occupancy Sensors (39)	\$5,335
Rooftop unit (2)	\$80,000
Programmable Thermostats (10)	\$4,000
Timeclocks for Hot Water systems (1)	\$120
Contractor/Subcontractor costs	\$56,507
Construction	\$172,508

Preliminary Engineering and Design	\$21,188
Construction Management and Engineering	\$12,993
Total	\$206,689

Subtotal - Construction	\$2,159,120
Preliminary Engineering and Design	\$543,543
Subtotal - Construction Management & Engineering	\$414,262
Grand Total for Municipal Building Retrofits	\$3,116,925

(

(

1

.....

Engineer's Cost Estimates for Municipal Building Energy Efficiency Retrofit Program

with Revisions to Health Centers and Including Chinatown Health Center

1 - Southeast Health Center - HVAC Upgrades (Revised)

Description	Cost
Boiler	\$48,770
Rooftop Unit	\$143,061
VAV Boxes	\$23,647
Control Interface	\$61,513
Start-up	\$8,788
Architectural Allowance	\$55,000
Contractor/Subcontractor costs	\$150,234
Construction	\$491,012
Preliminary Engineering and Design	\$80,348
Construction Management and Engineering	\$71,159
Total	\$642,519

2 - Ocean Park Health Center - HVAC Upgrades (Revised)

Description	Cost
Boiler	\$49,013
Rooftop Unit	\$56,240
VAV Boxes	\$63,349
Control Interface	\$89,808
Start-up	\$17,575
Architectural Allowance	\$55,000
Contractor/Subcontractor costs	\$182,058
Construction	\$513,042
Preliminary Engineering and Design	\$83,953
Construction Management and Engineering	\$71,660
Total	\$668,655

3 - County Jails 8 & 9 - Chiller & BMS Upgrades

Description	Cost
Chiller	\$188,800
Epoxy Coating (corrosion inhibitor)	\$47,200
Coil Replacement	\$45,000
BMS Replacement	\$25,000
Demolition	\$5,500
Miscellaneous Items (incl spare parts)	\$35,000
Sales Tax	\$21,708
Contractor/Subcontractor costs	\$128,873
Construction	\$497,081
Preliminary Engineering and Design	\$121,034
Construction Management and Engineering	\$90,661
Total	\$708,776

4 - County Jail 5 - Lighting Upgrades

Description	Cost
8 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast	\$328
316 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast	\$14,220
65 lighting units: 85 CRI, Rapid Start, (4) 48" T8 Lamp with ballast	\$14,365
16 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast HLO	\$728
34 lighting units: EXIT LED (1) 2W lamp (single-sided)	\$3,502
Contractor/Subcontractor costs	\$32,679
Construction	\$65,822
Preliminary Engineering and Design	\$16,304
Construction Management and Engineering	\$13,644
Total	\$95,770

5 - Women's Reentry Center - Lighting, Boiler, and DHW Upgrades

Description	Cost
22 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$3,498
11 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast	\$495
16 lighting units: 85 CRI, Rapid Start, (3) 48" T8 Lamp with ballast NLO	\$1,152
2 lighting units: EXIT LED (1) 2W lamp (single-sided)	\$206
Hot Water Boiler Replacement	\$16,000
Boiler E-stop Switch	\$600
Gas Piping (lineal feet)	\$320
Contractor/Subcontractor costs	\$10,239
Construction	\$32,510
Preliminary Engineering and Design	\$9,122
Construction Management and Engineering	\$7,458
Total	\$49,090

6 - African American Cultural Center - Lighting Upgrades and Controls

Description	Cost
22 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$3,498
3 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast RLO	\$135
22 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with Ballast, NLO	\$1,584
46 lighting units: Compact Fluorescent, quad, 26W lamp	\$4,738
1 lighting unit: Track Lighting System	\$975
52 lighting units: 85 CRI, Rapid Start, (4) 48" T8 Lamp with Ballast NLO	\$2,340
Occupancy Sensors (25)	\$1,977
Contractor/Subcontractor costs	\$11,365
Construction	\$26,612
Preliminary Engineering and Design	\$4,009
Construction Management and Engineering	\$3,272
Total	\$33,893

7 - Mission Cultural Center - Lighting Upgrades and Controls

Description	Cost
6 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$540
18 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast RLO	\$1,044
3 lighting units: 85 CRI, Rapid Start (4) 48" T8 Lamp with Ballast	\$270
200 lighting units: Compact Fluorescent, quad 26W lamp	\$1,200
11 lighting units: Occupancy Sensors	\$743
Occupancy Sensors (2)	\$328

Programmable Thermostats (1)	\$516
Contractor/Subcontractor costs	\$3,949
Construction	\$8,590
Preliminary Engineering and Design	\$1,960
Construction Management and Engineering	\$1,546
Total	\$12,096

8 - SomArts - Lighting Upgrades and Controls

Description	Cost
6 lighting units: 85 CRI, Rapid Start (1) 48" T8 Lamp with Ballast	\$291
1 lighting unit: 85 CRI, Rapid Start (4) 24" T8 Lamp with Ballast	\$48
110 lighting units: Compact Fluorescent , quad 26W lamp	\$660
Occupancy Sensors (10)	\$1,158
Programmable Thermostats (7)	\$2,258
Contractor/Subcontractor costs	\$3,230
Construction	\$7,645
Preliminary Engineering and Design	\$1,960
Construction Management and Engineering	\$1,546
Total	\$11,151

9 - Ella Hill Hutch Community Center - Lighting and HVAC Upgrades

Description	Cost
49 lighting units: 85 CRI, Rapid Start, (1) 48" T8 Lamp with ballast RLO	\$7,791
147 lighting units: 85 CRI, Rapid Start, (2) 48" T8 Lamp with ballast	\$6,615
6 lighting units: 85 CRI, Rapid Start, (3) 24" T8 Lamp with ballast NLO	\$1,584
28 lighting units: Fluorescent (4) 46" T5/HO Lamp with Ballast	\$10,556
Occupancy Sensors (39)	\$5,335
Rooftop unit (2)	\$80,000
Programmable Thermostats (10)	\$4,000
Timeclocks for Hot Water systems (1)	\$120
Contractor/Subcontractor costs	\$56,507
Construction	\$172,508
Preliminary Engineering and Design	\$21,188
Construction Management and Engineering	\$12,993
Total	\$206,689

10 - Chinatown Health Center - HVAC Upgrades (New)

Description	Cost
Boiler	\$73,618
Rooftop Unit	\$77,330
VAV Boxes	\$63,287
Control Interface	\$89,194
Start-up	\$17,575
Architectural Allowance	\$55,000
Contractor/Subcontractor costs	\$144,677
Construction	\$520,680
Preliminary Engineering and Design	\$94,483
Construction Management and Engineering	\$73,123
Total	\$688,286

TOTAL - Construction	\$2,335,502
TOTAL - Preliminary Engineering and Design	\$434,361
TOTAL - Construction Mangement & Engineering	\$347,062
TOTAL for Municipal Building Retrofits	<u>\$3,116,925</u>



AGENDA ITEM
Public Utilities Commission
City and County of San Francisco



DEPARTMENT Power Enterprise AGENDA NO. 12
 MEETING DATE September 8, 2009

Recommendation to Board Of Supervisors to accept and expend grant funds: Regular Calendar

Project Manager: Manuel Ramirez

<p>Summary of Proposed Commission Action:</p>	<p>Request the General Manager of the Public Utilities Commission to forward a recommendation to the Board of Supervisors to accept and expend formula grant funds, totaling \$7,739,300, through the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) as administered by the U.S. Department of Energy (DOE) under the Energy Independence and Security Act of 2007 (Pub. L. 110-140; 42 U.S.C. 17151 et seq.), and to execute all documents required.</p>
<p>Background:</p>	<p>This item recommends that the Board of Supervisors accept and expend a \$7,739,300 formula grant from U.S. Department of Energy under the American Recovery and Reinvestment Act ("ARRA" or "the Act") to fund the Municipal Building Energy Efficiency Retrofit, the Community Resilience, and the Heating Systems Programs. This grant will additionally provide initial seed money for San Francisco's Clean Energy Loan Program. The Municipal Building Energy Efficiency Retrofit program will be managed by the San Francisco Public Utilities Commission and implemented by the Department of Public Works. The Community Resilience and Heating Systems Programs will be managed by the San Francisco Department of Environment.</p> <p>No matching funds are required for this grant and none are proposed for the Municipal Building Energy Efficiency Retrofit projects managed through the SFPUC. For the SFE programs, grant funds will be leveraged with existing funds.</p> <p>In its grant application, the City proposed energy efficiency improvements and retrofits for nine (9) municipally-owned buildings throughout San Francisco that serve local communities. The Mayor's office met with stakeholders and proposed projects that met the goals as set forth by ARRA</p>

APPROVAL:

DEPARTMENT / BUREAU _____
 COMMISSION SECRETARY Mike Housh

FINANCE Todd L. Rydstrom
 GENERAL MANAGER Ed Harrington

	<p>to create jobs, increase energy efficiency as well as a local policy to provide benefits to residents of San Francisco at large. The energy efficiency projects proposed under the Energy Efficiency and Conservation Block Grant program meeting these criteria include the following:</p> <ol style="list-style-type: none"> 1. Department of Public Health Energy Efficiency Retrofit for Southeast Health Center Heating, Ventilation and Air Conditioning (HVAC); 2. Department of Public Health Energy Efficiency Retrofit for Ocean Park Health Center Heating, Ventilation and Air Conditioning (HVAC); 3. Sheriff's Department Community Justice Center 8 and 9 HVAC and BMS Upgrades; 4. Sheriff's Department Community Justice Center 5 Lighting Upgrades;
	<ol style="list-style-type: none"> 5. Sheriff's Department Women's Reentry Center (930 Bryant Street) Lighting and HVAC Upgrades; 6. Art Commission Cultural Center (African American, SomArts & Mission Cultural Centers) Energy Efficiency Measures and/or HVAC Upgrades; and, 7. Recreation and Parks Department Ella Hill Hutch Center Energy Efficiency Improvements <p>In addition to these municipal retrofit projects, the following two projects will be managed through the San Francisco Department of the Environment:</p> <ol style="list-style-type: none"> 1. Heating Systems (addressing hot water and heating systems primarily in multi-family buildings) 2. Community Resilience (providing comprehensive Home Resiliency assessments) <p>Finally, this grant will provide initial seed money for the City's Clean Energy Loan Program.</p> <p>The U.S. DOE was authorized to provide these funds under the American Recovery and Reinvestment Act of 2009 through the Energy Independence and Security Act of 2007. Programs such as the ones approved by DOE for the Energy Efficiency Group will allow for the implementation of energy efficiency projects sooner than planned for under the SFPUC's five-year capital plan and meet the goals of job creation, increasing energy efficiency, and lowering greenhouse gas emissions as set forth in ARRA.</p>
<p>Result of Inaction:</p>	<p>Inaction would result in the City and County of San Francisco not receiving its allocated formula block grant through the American Recovery & Reinvestment Act of 2009. Without this grant fund, the specified municipal</p>

	energy efficiency projects and other projects managed through SFE would not be completed or expanded.
Description of Agreement:	<p>Section 10.170 of the San Francisco Administrative Code permits the application for federal, state, or other grants upon the approval of the Department Head. Section of 10.170-1 of the San Francisco Administrative Code further states that the acceptance and expenditure of Federal, State or other grant funds is subject to the approval by resolution of the Board of Supervisors.</p> <p>The application for this grant was submitted on June 23, 2009. U.S. DOE notified SFPUC staff that the Municipal Building Energy Efficiency Retrofit, Community Resilience, and Heating Systems Programs had been approved for \$7,739,300 in ARRA funding on August 17, 2009. The grant does not have a matching fund requirement; however, the SFE projects will be leveraged with existing funding sources. This grant provides up to ten (10) percent in grant funds for indirect costs and requires that any indirect costs in excess of the ten (10) percent limit, or \$773,900) be the responsibility of the local implementing agency. The grant further requires that all monies be fully expended no later than August 16, 2012. Lastly, the granting agent states that any and all cost overruns with regard to this project shall be borne by the SFPUC.</p>
Recommendation:	SFPUC staff recommends that the Commission adopt the attached resolution requesting the General Manager to move forward to the Board of Supervisors a recommendation to accept and expend \$7,739,300 in grant funds from the American Reinvestment and Recovery Act as administered by the U.S. Department of Energy under the through the Energy Independence and Security Act of 2007 (Pub. L. 110-140; 42 U.S.C. 17151 et seq.).
Attachment(s):	<ol style="list-style-type: none"> 1. Notice of Award and pending Grant Agreement 2. Statement of Project Objectives

PUBLIC UTILITIES COMMISSION

City and County of San Francisco

RESOLUTION NO. _____

WHEREAS, The U.S. Department of Energy (DOE) is authorized to provide funding through the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) under the Energy Independence and Security Act of 2007 (Pub. L. 110-140; 42 U.S.C. 17151 et seq.); and,

WHEREAS, The City and County of San Francisco submitted a grant application on June 23, 2009 requesting \$7,739,300 in formula grant funding from the U.S. DOE for the Municipal Building Energy Efficiency Retrofit, Community Resilience, and Heating Systems Programs; and,

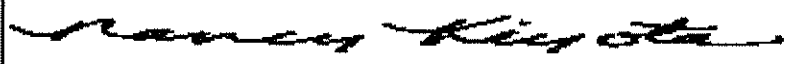
WHEREAS, U.S. DOE notified the the City on August 17, 2009 it had approved a grant award of \$7,739,300 through the American Recovery and Reinvestment Act of 2009 under the Energy Independence and Security Act of 2007; now, therefore, be it

RESOLVED, That the San Francisco Public Utilities Commission requests that the General Manager forward to the Board of Supervisors its recommendation to accept and expend a grant of \$7,739,300 under the Energy Independence and Security Act of 2007 and to execute all documents necessary therefore.

I hereby certify that the foregoing resolution was adopted by the Public Utilities Commission at its meeting of _____ September 8, 2009

Secretary, Public Utilities Commission

ASSISTANCE AGREEMENT

1. Award No. DE-FE0000879		2. Modification No.	3. Effective Date 08/17/2009	4. CFDA No. 81.128
5. Awarded To PUBLIC UTILITIES DEPT Attn: SAMUEL LARANO 1155 MARKET STREET, 4TH FLOOR SAN FRANCISCO CA 941031522		6. Sponsoring Office Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401		7. Period of Performance 08/17/2009 through 08/16/2012
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other		9. Authority PL 110-140, EISA 2007 PL 111-5, Recovery Act 2009		10. Purchase Request or Funding Document No. 09EE003422
11. Remittance Address PUBLIC UTILITIES DEPT Attn: SAMUEL LARANO 1155 MARKET STREET, 4TH FLOOR SAN FRANCISCO CA 941031522		12. Total Amount Govt. Share: \$7,739,300.00 Cost Share : \$0.00 Total : \$7,739,300.00		13. Funds Obligated This action: \$7,739,300.00 Total : \$7,739,300.00
14. Principal Investigator Mr. Olson 11 54-2419		15. Program Manager Jason Randall Phone: 303-275-4847		16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393
17. Submit Payment Requests To		18. Paying Office		19. Submit Reports To See Attachment 2
20. Accounting and Appropriation Data IECBG Program				
21. Research Title and/or Description of Project RECOVERY ACT: BUILDING IMPROVEMENTS: ENERGY SAVINGS, COMMUNITY RESILIENCE PROGRAM				
22. Signature of Person Authorized to Sign		25. Signature of Grants/Agreements Officer 		
23. Name and Title		24. Date Signed	26. Name of Officer Nancy L. Kiyota	27. Date Signed 08/17/2009

CONTINUATION SHEET

REFERENCE NO. DOCUMENT BEING CONTINUED
DE-EE0000879

PAGE OF
2 3

NAME OF OFFEROR OR CONTRACTOR
PUBLIC UTILITIES DEPT

EM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 038856845</p> <p>In addition to this Assistance Agreement, this award consists of the items listed in the Special Terms and Conditions, Provision 2, Award Agreement Terms and Conditions.</p> <p>In Block 7 of the Assistance Agreement, the Period of Performance reflects the beginning of the project through the end of the current Budget Period, shown as 08/17/2009 through 08/16/2012.</p> <p>Blocks 12 and 13 of the Agreement Cover Page indicate the Total Obligated Amount of this project, which is the Recipient's total allocation. The funds available in ASAP to the Recipient through this action are limited to \$3,599,788 due to the restrictions in: Provision Number 19, National Environmental Policy Act Clause and Provision Number 21, the Subcontractor Approval clause in the Special Terms and Conditions. Once these conditions have been met, the remaining funds will be released to the Recipient according to Provision Number 18, Staged Disbursement Clause of the Special Terms and Conditions.</p> <p>DOE Award Administrator: Henry Fowler E-mail: henry.fowler@go.doe.gov Phone: 303-275-4903</p> <p>DOE Project Officer: Jason Randall E-mail: jason.randall@go.doe.gov Phone: 303-275-4847</p> <p>Recipient Business Officer: Manuel Ramirez E-mail: mramirez@sflower.org Phone: 415-554-1538</p> <p>Recipient Principal Investigator: Gregg Olson E-mail: golson@sflower.org Phone: 415-554-2419</p> <p>Electronic signature or signatures as used in this document means a method of signing an electronic message that-- (A) Identifies and authenticates a particular person as the source of the electronic message; (B) Indicates such person's approval of the Continued ...</p>				

CONTINUATION SHEET

REFERENCE F DOCUMENT BEING CONTINUED
DE-EE0000819

PAGE OF
3 3

NAME OF OFFEROR OR CONTRACTOR
PUBLIC UTILITIES DEPT

IT	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>information contained in the electronic message; and, (C) Submission via FedConnect constitutes electronically signed documents.</p> <p>ASAP: Yes Extent Competed: NOT AVAIL FOR COMP Delivery Location Code: 03601 Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393</p> <p>Payment: OR for Golden U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4517 Oak Ridge TN 37831</p> <p>Fund: 05796 Appr Year: 2009 Allottee: 31 Report Entity: 200835 Object Class: 41020 Program: 1005115 Project: 2004350 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0331</p>				

(

(

(

(

(

City & County of San Francisco, CA
Statement of Project Objectives

Recovery Act: Building Improvements: Energy Savings, Community Resilience Program

Project Objectives

The City & County of San Francisco (CCSF) is proposing two main tasks under the program – the Residential Sector Program, which includes three activities, and the Municipal Sector Program, with one activity.

These programs support the CCSF’s overall greenhouse gas (GHG) emissions reduction goal of 20% below 1990 levels by 2012. Recommended actions to meet this goal are described in San Francisco’s Climate Action Plan. The programs initiated under the Energy Efficiency and Conservation Block Grant (EECBG) program will support the energy efficiency actions described in the Plan under “Increase Incentives, Direct Installation and Technical Assistance.”

Project Scope

The Residential Sector Program plans to increase awareness, and put in place incentives and policy initiatives to increase the long term sustainability of energy savings.

First, this project will build the contractor infrastructure and increase market acceptance of energy efficiency retrofits in the key natural gas consuming market sectors. The projects performed with EECBG incentive funds will provide an increasing source of case studies, providing the market place with enough evidence that these retrofits are successful and low risk. This will convince more multi-family building owners and homeowners to agree to pay for this service.

Second, these projects will provide the data needed to justify the changing of the rules governing the use of the existing California Public Goods Charge (CPGC) incentive funds. A successful rules change would increase the quantity of CPGC funds to be used on each project, increasing the number of retrofits performed.

Third, a tax-lien financing program will allow private building owners to borrow project funds through the City and re-pay the loan through a supplemental property tax payment stretched over a 20-year period. This will make most projects cash positive in the first year of the retrofit, a criterion that make it attractive to landlords and homeowners concerned about their cash flow. A tax-lien financing system will be in place this year (2009).

Finally, concomitant with the EECBG funded programs, CCSF will develop policy initiatives to require retrofits. For example, the City’s existing Residential Energy Conservation Ordinance requires installation of some energy and water efficiency measures at time-of-sale. This ordinance could be amended to require a home performance analysis and the disclosure of the results to the buyer and the City. In the multi-family sector, CCSF may add additional heating system performance metrics to the annual boiler inspection currently performed by the Fire Department. In addition, the currently convening Commercial Building Task Force is proposing several policy options that would require retrofits. As a result, after the EECBG incentives have

expired, the City's new policies would drive homeowners and building owners to utilize the existing programs to retrofit their homes and buildings.

The benefits of the projects completed under the Municipal Sector program will continue well past the EECBG funding period. The average projected lifetime of the energy efficiency measures implemented through these projects is 18 years. In addition to the direct annual electricity and natural gas savings, these projects will also provide co-benefits such as improved lighting quality, thermal comfort and indoor air quality. The experience gained through completing energy efficiency projects using alternate implementation mechanisms can be used to improve future CCSF programs.

Tasks & Milestones

TASK #1 – Residential Sector Programs

Activity #1 -- The Community Resilience Program. This program leverages an existing City program to organize neighborhoods around various issues including public safety and disaster preparedness to make San Francisco communities more resilient to disasters. This program will add a climate, energy, water, composting, and victory garden awareness and action component to increase resiliency to resource shortages, price increases, etc. The program addresses the needs of tenants and owners of small buildings: single-family and 2-4 unit buildings (San Francisco has 25% of all 2-4 unit buildings in California) typically owned by a single landlord owning a single or a small number of buildings, often living in one of the units. Local community based organizations will provide education through presentations at meetings and special events. For home owners and tenants, this program will provide comprehensive Home Resiliency assessments upon request. For home owners and 2-4 unit building owners it will provide incentives to contractors for home performance retrofits that achieve specified reduction targets. To qualify for the incentive, each project must improve their Home Energy Rating score and add other simple measures that conform to the City's goals, e.g. water conservation measures. A revolving loan fund will be used to develop an appropriate financing program.

Residential Sector Program Community Resilience Metrics:

Annual Energy savings: 190,720 therms/year

GHG emissions reduced: 1,115 tons CO₂e/year

Jobs created: 52 with contractors (home performance analyst, weatherization installer, HVAC)

Funds leveraged: \$3,242,000 from Private funds

Education program participants: 7,000

Home assessments: 1,400

Home performance retrofits: 433

Activity #2 – Heating Systems Financial Incentive Program. This program is designed to address hot water and heating systems in old multi-family buildings that still have an original low-pressure steam boiler, though other heating systems may be addressed in the program. The systems are typically maintained by a contracted service called in response to complaints, and preventive maintenance is infrequent. The heating systems typically need tuning as well as retrofits and/or replacements of the hardware. The primary barrier to heating system retrofits is the high up front cost to abate asbestos and meet other codes that have been changed since the original installation. This program will add significant incentive funds to overcome that barrier. It will also leverage the existing ratepayer funded program that currently provides technical assistance and a small amount of incentives. Under this program, City staff provides technical pre-assessments of lighting and HVAC systems and arranges for program contractors to make detailed bids that include incentives. This program will coordinate with the City's tax-lien financing program now in development. The incentives, together with the financing, will make many projects cash-flow positive in the first year.

Residential Sector Heating Systems Metrics:

Annual Energy Saved: 399,000 therms/year (3,000 therms per year per project average);
 GHG emissions reduced: 2,332 tons CO₂e/year
 FTE jobs created: 74 with contractors (journey and apprentice plumbers and steam fitters)
 Funds leveraged: \$4,389,000 from CPGC and Private funds
 Projects: 133 heating systems retrofitted

Residential Sector Program Milestones:

1. 30 days: Provide additional technical assistance and commit EECBG incentives to already identified projects (Heating Systems).
2. 45 days: Begin providing additional technical assistance and committing incentives to newly identified projects (Heating Systems).
3. 60 days: First home performance project completed (Community Resilience).
4. 90 days: First Home Resiliency Assessment completed (Community Resilience).
5. 24 months: Final project completed and incentive paid. (Heating Systems). Last home assessment and last performance retrofit incentive paid. (Community Resilience).
6. 26 months: Closeout and reporting to USDOE complete.

Activity #3 – Tax Lien/Revolving Loan Financial Incentive Program. The proposed tax lien financing program will provide an opportunity for borrowers to finance the portion of their energy efficiency, renewable energy, or water conservation retrofit project that is not otherwise covered by rebates, incentives, or tax credits. In exchange for the program funds the borrower agrees to levy a special tax against the property on its property tax bill.

This approach allows for the costs of energy improvements to be paid off over time, not just by the current owner but by future owners of the property who enjoy the

conservation benefits and utility bill savings associated with the improvements during the repayment period. Because it is a tax and not a traditional loan, a property owner does not need to pay off all remaining principal on the energy financing at the time of sale. This potentially can create demand among otherwise hard to reach residential and commercial borrowers who may be unsure of how long they will be occupying a particular building. This program is meant to complement other City programs seeking to stimulate these types of retrofits, including but not limited to the Community Resilience and Heating Systems programs to be funded under the EECBG.

Tax Lien Financing Program Milestones:

The City has completed a competitive solicitation for a funding and administrative partner to implement this loan program, and has begun negotiations regarding the design and implementation of the program with the selected proposer. Such agreement will contemplate the leveraging of \$10 million in loan funds from the private market as the program's initial capitalization. The EECBG funds described above would be used to pay for technical assistance associated with formulating and implementing the tax lien financing program on a sustainable basis and negotiating the related agreements for such implementation (e.g. financial advisory services, legal advice, special tax consulting services, development of administrative procedures).

TASK #2 – Municipal Sector Program.

Activity #4 – The Municipal Building Energy Efficiency Retrofit Program. The Municipal Building Energy Efficiency Retrofit Program will provide energy efficiency upgrades to City-owned buildings. The program will reduce energy use and greenhouse gas emissions by providing improvements to lighting, HVAC units, boilers, chillers, domestic hot water (DHW) systems, and building management systems (BMS).

Municipal Sector Program (Retrofits) Metrics:

Annual Energy Savings:

Electricity: 633,524 kWh/year

Natural Gas: 17,613 therms/year

GHG emissions reduced: 446 tons CO₂e/year

Jobs created: 34

Municipal Sector Program Milestones:

1. 6 months: All projects in audit phase.
2. 12 months: All projects in design phase.
3. 18 months: All EECBG funds encumbered.
4. 24 months: All projects in construction phase.
5. 36 months: Closeout of all projects and reporting to USDOE complete.

PUBLIC UTILITIES COMMISSION

City and County of San Francisco

RESOLUTION NO. 09-0150

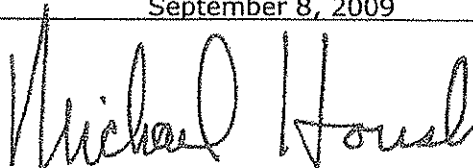
WHEREAS, The U.S. Department of Energy (DOE) is authorized to provide funding through the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) under the Energy Independence and Security Act of 2007 (Pub. L. 110-140; 42 U.S.C. 17151 et seq.); and,

WHEREAS, The City and County of San Francisco submitted a grant application on June 23, 2009 requesting \$7,739,300 in formula grant funding from the U.S. DOE for the Municipal Building Energy Efficiency Retrofit, Community Resilience, and Heating Systems Programs; and,

WHEREAS, U.S. DOE notified the the City on August 17, 2009 it had approved a grant award of \$7,739,300 through the American Recovery and Reinvestment Act of 2009 under the Energy Independence and Security Act of 2007; now, therefore, be it

RESOLVED, That the San Francisco Public Utilities Commission requests that the General Manager forward to the Board of Supervisors its recommendation to accept and expend a grant of \$7,739,300 under the Energy Independence and Security Act of 2007 and to execute all documents necessary therefore.

I hereby certify that the foregoing resolution was adopted by the Public Utilities Commission at its meeting of _____ *September 8, 2009*



Secretary, Public Utilities Commission

