

FINANCIAL ASSISTANCE AWARD

ACCOUNTING CODE

** See Attached**

RECIPIENT NAME

State of Connecticut Dept. of Energy and Environmental Protection

AWARD NUMBER

09-50-M09060N

STREET ADDRESS

70 Elm Street

FEDERAL SHARE OF COST

\$876,636.16

CITY, STATE ZIP

Hartford, CT 06106 -1650

RECIPIENT SHARE OF COST

\$0.00

AWARD PERIOD

08/01/2013 - 12/31/2014

TOTAL ESTIMATED COST

\$876,636.16

AUTHORITY

P.L. 110-385

CFDA NO. AND PROJECT TITLE:

11.557 American Recovery and Reinvestment Act-SBDD-Connecticut Department of Public Utility Control

This Award approved by the Grants Officer is issued in triplicate and constitutes an obligation of Federal funding. By signing the three documents, the Recipient agrees to comply with the Award provisions checked below and attached. Upon acceptance by the Recipient, two signed Award documents shall be returned to the Grants Officer and the third document shall be retained by the Recipient. If not signed and returned without modification by the Recipient within 30 days of receipt, the Grants Officer may unilaterally terminate this Award.

X Department of Commerce Financial Assistance Standard Terms and Conditions (January 2013)

X Special Award Conditions

X Line Item Budget

15 CFR Part 14, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, Other Non-Profit, and Commercial Organizations

X 15 CFR Part 24, Uniform Administrative Requirements for Grants and Agreements to State and Local Governments

OMB Circular A-21, Cost Principles for Educational Institutions

X OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments

OMB Circular A-122, Cost Principles for Nonprofit Organizations

48 CFR Part 31, Contract Cost Principles and Procedures

X OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations

X Other(s)

SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER

Calvin Mitchell




TITLE

GRANT OFFICER

DATE

12/5/13

TYPED NAME AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL



TITLE

Brewer Chief

DATE

12/5/13

Award Number: 09-50-M09060N, Amendment Number 0

Federal Program Officer: Lynn Chadwick

Requisition Number: M09060N

Employer Identification Number: 86-1154163

Dun and Bradstreet Number: 108352811

Recipient ID: 0982649

Requestor ID: 0982649

Award ACCS Information

Bureau	FCFY	Project-Task	Organization	Object Class	Obligation Amount
61	2010	4805011-300	06-10-0000-00-00-00-00	41-19-00-00	\$876,636.16

Award Contact Information

Contact Type	Contact Name	Email	Phone
Administrative	Ms. Katie Dykes	katie.dykes@ct.gov	860-827-2805

NIST Grants Officer:

Calvin Mitchell
100 Bureau Drive, MS 1650
Gaithersburg, MD 20899-1650
(301) 975-4585

NIST Grants Specialist:

Thomas P. Tucker
100 Bureau Drive, MS 1650
Gaithersburg, MD 20899-1650
(301) 975-8931

**AMERICAN RECOVERY AND REINVESTMENT ACT
STATE BROADBAND DATA AND DEVELOPMENT GRANT PROGRAM
SPECIAL AWARD CONDITIONS
STATE OF CONNECTICUT DEPARTMENT OF ENERGY &
ENVIRONMENTAL PROTECTION
09-50-M09060N**

1. NIST acknowledges the legal name change of the State of Connecticut Department of Environmental Protection (DEP) to the State of Connecticut Department of Energy and Environmental Protection (DEEP). This change has been made in accordance with the Public Act 11-80. AN ACT CONCERNING THE ESTABLISHMENT OF THE DEPARTMENT OF ENERGY AND ENVIRONMENTAL PROTECTION AND PLANNING FOR CONNECTICUT'S ENERGY FUTURE. According to the law, the State of Connecticut Department of Energy and Environmental Protection has assumed the liabilities, assets, debts, etc. of this award. The amount to be available for the State of Connecticut Department of Energy and Environmental Protection under this award is \$876,636.16 for the period 08/01/2013 to 12/31/2014. The execution of a Name Change Agreement does not preclude the use of any other method available to the Grants Officer to resolve any other issues related to a transfer of recipient assets, including the treatment of costs. The new award number is 09-50-M09060N.

2. **The Recipient's Contact's name, title, address, and telephone number are:**

Ms. Kakie Dykes
Deputy Commissioner
79 Elm Street
Hartford, CT 06106-1650
Phone: 860-827-2805
Email: Katie.dykes@ct.gov

3. **The Program Officer's name, address, and telephone number are:**

Lynn Chadwick
Program Officer, State Data and Development Program
National Telecommunications and Information Administration
US Department of Commerce
1401 Constitution Ave., NW, Ste. 4897
Washington, DC 20230
Phone: (202) 482 8338; Fax: (202) 482-2156
Email: lchadwick@ntia.doc.gov

4. The Grants Officer's name, address, and telephone number are:

Calvin D. Mitchell
National Institute of Standards and Technology
Grants Management Division
100 Bureau Drive, MS 1650
Gaithersburg, MD 20899-1650
Phone: 301-975-4585; Fax: 301-840-5976
E-mail: calvin.mitchell@nist.gov

5. The Grant Specialist's name, address, telephone and fax number and email address:

Thomas P. Tucker
National Institute of Standards and Technology
Grants Management Division
Bldg. 411, Room B-100
100 Bureau Drive, Mail Stop 1650
Gaithersburg, Maryland 20899-1650
Phone: (301) 975-8931
E-mail: thomas.tucker@nist.gov

6. Funding Clause:

The award period and budget incorporated into the award cover the period from 8/1/2013 to 12/31/2014 for a total of \$876,636.16 in federal funds for the recipient's Broadband Mapping and Planning activities. The Department of Commerce is not liable for any obligations, expenditures, or commitments which involve any amount in excess of the Federal amount presently available.

The Recipient may not obligate, incur any expenditure, nor engage in any activity that involves a commitment of Federal funds under this Agreement in excess of the Federal amount presently available.

The award period and funding period are fully funded with this amendment.

7. Automated Standard Application for Payments system (ASAP):

Notwithstanding Section A.02 of the DoC Financial Assistance Standard Terms and Conditions, dated March 2008:

- a. The advanced method of payment shall be authorized unless otherwise specified in a special award condition.

b. Payments will be made through electronic funds transfers, using the Department of Treasury's Automated Standard Application for Payment (ASAP) system and in accordance with the requirements of the Debt Collection Improvement Act of 1996. **The following information is required when making withdrawals for this award: (1) ASAP account identification (id) = award number found on the cover sheet of this award; (2) Agency Location Code (ALC) = 13060001; and (3) Region Code = 02.** Recipients do not need to submit a "Request for Advance or Reimbursement" (SF-270) for payments relating to this award. **All non-ASAP Recipient Organizations must enroll electronically. The ASAP system no longer accepts paper forms for enrollment. If you are not currently enrolled in the ASAP system you must provide the Federal Awarding Agency with a Point of Contact name, e-mail address, mailing address, telephone number, EIN and DUNS numbers of your organization in order for the Federal Awarding Agency Enrollment Initiator (EI) to begin the on-line enrollment. If you have questions on this requirement please contact the Grant Specialist responsible for this award. If you have questions on the electronic process step-by-step instructions you may contact your responsible Regional Finance Center.**

Advances taken through the ASAP shall be limited to the minimum amounts necessary to meet immediate disbursement needs. Advanced funds not disbursed in a timely manner must be promptly returned, via an ASAP credit, to the account from which the advanced funding was withdrawn. Advances shall be for periods not to exceed 30 days.

c. This award has the following control or withdrawal limits set in ASAP:

- None
- Agency Review required for all withdrawals (see explanation below)
- Agency review required for all withdrawal requests over \$_____ (see explanation below)
- Maximum Draw Amount controls (see explanation below)
 - \$_____ each month
 - \$_____ each quarter
 - \$_____ each year

d. Funds that have been withdrawn through ASAP may be returned to ASAP via the Automated Clearing House (ACH) or via FEDWIRE. The ACH or FEDWIRE transaction may only be performed by the Recipient's financial institution. Full or partial payments received by a Payment Requestor/Recipient Organization may be returned to ASAP. All funds returned to the ASAP system will be credited to the ASAP Suspense Account. The Suspense Account allows the Regional Financial Center to monitor returned funds and ensure that they are credited to the correct ASAP account. Returned funds that cannot be identified and classified to an ASAP account

will not be accepted and will be returned to the originating depository financial institution (ODFI).

It is essential that the Payment Requestor/Recipient Organization provide its financial institution with ASAP account information (ALC, Recipient ID and Account ID) to which the returned funds are to be credited. Additional detailed information can be found at: <http://www.fms.treas.gov/asap/pay-return2.pdf>

8. Interest

This award is subject to 15 CFR 24.21(I) requiring recipients of Federal financial assistance to maintain advances of Federal funds in interest bearing accounts. Interest earned on Federal advances deposited in such accounts (with the exception of \$100 per year, which may be retained for administrative expenses) shall be remitted promptly.

The complete address for remitting checks for interest earned on Federal advances is Department of Health and Human Services, Payment Management System, P.O. Box 6021, Rockville, MD 20852. Recipients that do not have electronic remittance capability should send a check to this address.

In keeping with Electronic Funds Transfer rules (31 USC part 206), interest should be remitted to the HHS Payment Management System through an electronic medium such as the FEDWIR Deposit System. Electronic remittances should be in the format and should include any data that are specified by the HHS as being necessary to facilitate direct deposit in HHS' account at the Department of Treasury.

9. Matching Funds

Recipient will provide, from non-Federal sources, not less than 20 percent of the amount of the grant, including approved broadband planning activities, if any, funded under this award. The matching costs proposed in the Recipient's application represents the Recipient's best estimate of actual required matching costs, and the Recipient must submit a revised documentation of matching funds reflecting the funded award to the Federal Program Officer for review and approval within 30 days of the date of this award. In addition to this document, the Applicant must also submit a revised SF-424A specifying the proposed Federal and non-Federal amounts for each project year. The final approved matching costs will not be less than 20 percent of the total project cost. Matching funds can be in the form of either cash or in-kind contributions consistent with the 15 CFR 14.23, 24.3 and 24.24 as applicable.

10. Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements

The Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements are contained in, 73 Fed. Reg. 7696 (February 11, 2008), apply to this notice. On the form SF-424, the applicant's 9-digit Dun and Bradstreet Data Universal Numbering System (DUNS) number must be entered in item 8.c. Organizational DUNS. The DUNS number provided MUST be the DUNS number for the entity within the applying institution that will be responsible for drawing down funds from the Automated Standard Application for Payment System (ASAP). Institutions that provide incorrect DUNS numbers may experience significant delays in receiving funds.

11. Performance (Technical) Reports:

Deviation to the reporting requirements in the Department of Commerce (DoC) Financial Assistance Standard Term and Condition B.01, entitled "Performance (Technical) Report"

The Recipient shall submit performance (technical) reports to the Federal Program Officer at the end of each calendar quarter or portion thereof, and a final report within 90 days of expiration date of this award. In the case of a multi-year project, an annual performance report will be required for each year of the grant award in lieu of the final report. Annual and final reports should incorporate the results and accomplishments of all research conducted during the period specified at the award period. Due dates are:

- April 30 for the calendar quarter ending March 31
- July 30 for the calendar quarter ending June 30
- October 30 for the calendar quarter ending September 30
- January 30 for the calendar quarter ending December 31

12. FEDERAL FUNDING NOTICE – FY 2009 State Broadband Data and Development Grant Program

The Recipient shall comply with the requirements found in the Department of Commerce, National Telecommunications and Information Administration Federal Funding Opportunity Notice and the Department of Commerce, National Telecommunications and Information Administration Federal Register Notice:

- (74 FR 32545), dated July 8, 2009 and found at http://www.ntia.doc.gov/frnotices/2009/FR_BroadbandMappingNOFA_090708.pdf
- (74 FR 40569), dated August 12 and found at: http://www.ntia.doc.gov/frnotices/2009/FR_mappingclarification_090807.pdf

- (74 FR 46573), dated September 10, 2009 and found at:
http://www.ntia.doc.gov/fnotices/2009/FR_MappingProgram_090910.pdf

13. New Federal Financial Report

Deviation to replace the references for the reporting requirements in the Department of Commerce (DoC) Financial Assistance Standard Term and Condition A.01, entitled “Financial Reports,” and Use of Approved OMB Form SF-425 as Authorized Under Uniform Administrative Requirements For Financial Reporting

New Financial Reporting Form (SF-425) - Article A.01 of the Department of Commerce (DoC) Financial Assistance Standard Terms and Conditions dated March 2008 shall apply as revised below:

The references to Financial Reporting Form SF-269 in the DoC Standard Terms & Conditions are hereby replaced with the SF-425, “Federal Financial Report,” as required by OMB (73 FR 61175, October 15, 2008). As authorized under 15 CFR §§ 14.52 and 24.41, the OMB approved SF-425 shall be used in the place of the SF-269 and SF-272 under the uniform administrative requirements and elsewhere under this award where such forms are referenced.

The Recipient shall submit an SF- 425 (Federal Financial Report) on a calendar quarter basis for the periods ending March 31, June 30, September 30, and December 31, or any portion thereof, unless otherwise specified in a Special Award Condition. Reports are due no later than thirty (30) calendar days following the end of each reporting period. A final SF-425 shall be submitted within ninety (90) calendar days after the expiration date of the award.

14. Whistleblower Protection Act Requirements

The Recipient shall comply with the Whistleblower Protection requirements of the American Recovery and Reinvestment Act (Recovery Act), Section 1553 of Division A, Title XV, Public Law 111-5 which provides protection for employees of non-federal employers making specified disclosures relating to possible fraud, waste, or abuse of Recovery Act funds. The act requires any non-federal employer receiving Recovery Act funds to post a notice of the rights and remedies provided under the Act. The Recipient shall display a poster at their job sites. Recipients are reminded that the Office of Inspector General will verify the appropriate place of this poster as part of any field work conducted. Failure to display the poster may result in an audit finding. The poster can be downloaded from the following web site:

<http://www.oig.doc.gov/recovery/whistleblower.html>

15. Contractor Scope of Work

The Recipient must submit for review and approval the Scope of Work, cost estimates and contractor qualifications for any contracts expected to be in excess of \$100,000 when such information is not fully contained in the Recipient's application. **Federal** funds for these contracts will be released after such information has been reviewed and approved by NTIA. The Grants Officer will provide written notification of such approval.

16. Contracts Agreements

The Recipient shall submit fully executed contract agreements to the Grants Officer within 30 days of the execution of the agreements. (Fully Executed means: the agreement must be signed by both the recipient organization and the sub-recipient/or other party).

17. The Recipient shall be required to adhere to guidelines issued by NTIA regarding state broadband maps, associated content and websites or other publicly distributed materials, and provide notifications to NTIA before making substantial changes to any of the above materials.

18. In the event that program objectives in regard to data collection can no longer be achieved, the recipient may be allowed to modify its project proposal or terminate the project.

19. The Recipient has agreed to utilize a methodology that has been reviewed by external subject matter experts for the purpose of calculating households served by broadband within a given geography, and, where appropriate, to use the related questions found in the American Community Survey conducted by the Bureau of the Census.

20. Federal fund in excess of \$50,000 will not be released for all projects approved under this Amendment until NTIA has reviewed and approved a revised and detailed project plan, timeline and cost estimates, Awardees must submit these items within 120 days from the date of this Amendment, but may do so earlier. Revised budgets for data collection and related activities must include no more than a ten percent of the total five-year mapping budget costs as a line-item to support the implementation of future, and currently unidentified, leading practices. Federal funds for this line item will not be released until NTIA has reviewed and approved the use of the funds. Notwithstanding the above, federal funds for all contracts expected to be in excess of \$100,000 will not be released until the Scope of Work, cost estimates and contractor qualifications are reviewed and approved by NTIA. Additionally, Awardee must provide to NTIA for review and approval job descriptions for new employees expected to be paid \$100,000

per year or more before Federal funding supporting these positions is released.

- 21.** The awarding agency has the right to: 1) obtain, reproduce, publish or otherwise use data first produced under an award; and 2) authorize others to receive reproduce, publish or otherwise use such data for federal purposes. (Before authorizing others to use the material, a determination must be made that the use is for a federal purpose.) Except as otherwise specifically provided for in an award, authors may copyright any work that is subject to copyright and was developed under an award. When claim is made to copyright, the applicable copyright notice of 17 U.S.C. 401 or 402 and acknowledgment of Federal government sponsorship shall be affixed to the work when and if the work is delivered to the Federal government, is published, or is deposited for registration as a published work in the U.S. Copyright office. The copyright owner shall grant to the Federal government, and others acting on its behalf, a paid-up, nonexclusive, irrevocable, worldwide license for all such works to reproduce, publish, or otherwise use the work for Federal government purposes. See 15 CFR § §14.36, 24.34
- 22.** Awardees also receiving Broadband Technology Opportunities Program (BTOP) awards shall not utilize funds BTOP and SBDD funds for the identical activity.

BUDGET INFORMATION
Grant 0950M09060 from July 1, 2010 to December 31, 2014

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1 ARRA Broadband Data and Development Grant	11.558			\$876,636.16	\$0.00	\$876,636.16 ✓
2.						
3.						
4.						
5. TOTALS				\$876,636.16	\$0.00	\$876,636.16 ✓

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	- Grant Program, Function or Activity				Total (5)
	(1) Federal	(2) Non-Federal	(3)	(4)	
a. Personnel	\$79,770.61				\$79,770.61 ✓
b. Fringe Benefits	\$38,737.98				\$38,737.98 ✓
c. Travel	\$6,472.67				\$6,472.67 ✓
d. Equipment					
e. Supplies					
f. Contractual	\$751,654.90				\$751,654.90 ✓
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$876,636.16				\$876,636.16 ✓
l. Program Income					

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS	
8.					
9.					
10.					
11.					
12. TOTALS					
SECTION D - FORECASTED CASH NEEDS					
	Total for 1 st Year	1 st Quarter	2 nd Quarter	3 rd Quarter	4th Quarter
13. Federal	\$584,424	\$175,327	\$116,885	\$175,327	\$116,885
14. Non-Federal	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
15. TOTAL	\$584,424	\$175,327	\$116,885	\$175,327	\$116,885
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH	
16. ARRA Broadband Data and Development Grant	\$584,424	\$292,212			
17.					
18.					
19.					
20. TOTALS	\$584,424	\$292,212			
SECTION F - OTHER BUDGET INFORMATION (Attach additional sheets if necessary)					
21 Direct Charges: \$876,636.16 ✓					
22. Indirect Charges: \$0.00 ✓					
23. Remarks: This is part of the transfer of Grant No. 09-50-M09060 awarded to the State of Connecticut Department of Public Utility Control (DPUC) on January 1, 2010. The transfer of this grant (Phase 2) to the Connecticut Department of Energy and Environmental Protection (DEEP) as of July 1, 2013 is needed because legislation eliminated the DPUC.					
PART IV PROGRAM NARRATIVE (Attach per instruction)					