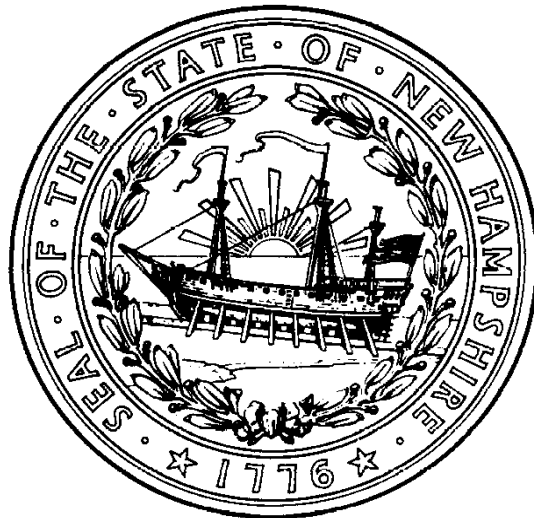
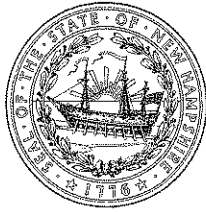


FISCAL COMMITTEE



**Meeting of October 16, 2015
10:00 a.m.
Room 210-211, LOB**



MICHAEL W. KANE, MPA
Legislative Budget Assistant
(603) 271-3161

CHRISTOPHER M. SHEA, MPA
Deputy Legislative Budget Assistant
(603) 271-3161

State of New Hampshire

OFFICE OF LEGISLATIVE BUDGET ASSISTANT
State House, Room 102
Concord, New Hampshire 03301

STEPHEN C. SMITH, CPA
Director, Audit Division
(603) 271-2785

October 8, 2015

To the Members of the Fiscal Committee
of the General Court

The Chairman of the Fiscal Committee of the General Court, as established by RSA 14:30-a, of which you are a member, has requested that you be notified that the Fiscal Committee will hold a regular business meeting on Friday, October 16, 2015, at 10:00 a.m. in Room 210-211 of the Legislative Office Building.

Please find attached information to be discussed at that meeting.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael W. Kane".

Michael W. Kane
Legislative Budget Assistant

MWK/pe
Attachments

FISCAL COMMITTEE
AGENDA

Friday, October 16, 2015 in Room 210-211 of the Legislative Office Building

10:00 a.m.

- (1) Acceptance of Minutes of the September 25, 2015 meeting

NOTE: ALL ITEMS LISTED ON THE AGENDA UNDER CONSENT CALENDAR ARE IN BOLD.

- (2) Old Business:

RSA 21-I:30, II Medical and Surgical Benefits:

FIS 15-201 Replacement Department of Administrative Services – authorization for approval of plan design changes to the Retiree Health Benefit Plan effective January 1, 2016, and authority to increase the premium contribution for Under 65 (non-Medicare) retirees from 12.5% to 15% effective January 1, 2016. **Tabled 9/25/15**

CONSENT CALENDAR

- (3) **RSA 14:30-a, VI Fiscal Committee Approval Required for Acceptance and Expenditure of Funds Over \$100,000 from any Non-State Source:**

FIS 15-210 Office of Energy and Planning – authorization to retroactively amend FIS 13-286, approved January 10, 2014, by extending the end date from June 30, 2015 to March 31, 2016, with no increase in funding

FIS 15-213 New Hampshire Fish and Game Department – authorization to accept and expend \$595,800 in federal funds through June 30, 2016

FIS 15-214 New Hampshire Fish and Game Department – authorization to accept and expend \$174,570 in federal funds through December 31, 2016

FIS 15-215 Department of Health and Human Services – authorization to accept and expend \$2,231,951 in federal funds through September 29, 2016

FIS 15-216 Department of Justice – authorization to accept and expend \$5,940,633 in federal funds through June 30, 2017

FIS 15-217 Department of Safety – authorization to accept and expend \$1,200,143 in federal funds through June 30, 2017

FIS 15-228 Department of Health and Human Services – authorization to accept and expend \$324,997 in federal funds through June 30, 2016

(4) **RSA 14:30-a, VI Fiscal Committee Approval Required for Acceptance and Expenditure of Funds Over \$100,000 from any Non-State Source and RSA 124:15, Positions Authorized:**

FIS 15-218 Department of Safety – authorization to; 1) accept and expend \$165,714 in agency income through September 30, 2016, and 2) establish one (1) full-time temporary State Police Captain (LG 29) through September 30, 2016

FIS 15-224 Department of Health and Human Services – authorization to; 1) accept and expend \$1,038,641 in federal funds retroactive to July 1, 2015 through June 30, 2017, and contingent upon approval of #1, authorization to 2) establish five (5) full-time temporary positions through June 30, 2017 consisting of; a Toxicologist IV (LG 29), two (2) Toxicologist II (LG 23), a Public Health Program Manager (LG26), and a Program Specialist IV (LG 25)

(5) **RSA 7:6-e Disposition of Funds Obtained by the Attorney General:**

FIS 15-211 Department of Justice – authorization to retain \$789,846.82 in multistate settlement funds and request to expend the funds in support of the Department’s Consumer/Antitrust Bureau

(6) **RSA 7:12, I, Assistants:**

FIS 15-212 Department of Justice – authorization to accept and expend a sum not to exceed \$600,000 from funds not otherwise appropriated for the purpose of covering projected shortfalls in the general litigation expenses incurred in the defense of the State and the prosecution of criminal law matters through June 30, 2016

(7) **RSA 215-A:23, IX, and RSA 215-C:39, X, Registration Fees:**

FIS 15-226 New Hampshire Fish and Game Department – authorization to transfer \$315,660 of unexpended funds from Excess Registration Fees to the Fish and Game OHRV Fiscal Year 2016 Operating Budget

(8) **RSA 622:28-a, V, Industries Inventory Account:**

FIS 15-225 Department of Corrections – authorization to purchase a Refurbished M&R Renegade 4056 Flatbed Screen Printer in an amount not to exceed \$24,020 in other funds from the Correctional Industries’ Revolving Account through June 30, 2016

(9) **Chapter 276:29, Laws of 2015, Department of Transportation; Transfer of Funds:**

FIS 15-219 Department of Transportation – authorization to transfer \$1,500,000 between various accounts and classes through June 30, 2016

(10) **Miscellaneous:**

(11) **Informational Materials:**

LBAO Report on Additional Revenues for the Biennium Ending June 30, 2017 – Fiscal Committee Approvals through September 25, 2015 (RSA 14:30-a, VI)

Joint Legislative Facilities Committee
Legislative Branch
Detail of Balance of Funds Available
Fiscal Year 2016
As of 09/30/15

FIS 15-220 Department of Administrative Services – RSA 21-I:19-h, IV – Disposal of State-Owned Vehicles Based on Non-business Use, as adjusted by FIS 11-335 December 2, 2011, report of all vehicles which have non-business use exceeding 20% for FY 2015

FIS 15-221 New Hampshire Fish and Game Department – RSA 214:1-f, X – Annual Report: Wildlife Habitat Fund for Fiscal Year 2015

FIS 15-222 New Hampshire Fish and Game Department – RSA 214:1-g, VII – Annual Report: Fisheries Habitat Account for Fiscal Year 2015

FIS 15-223 Department of Resources and Economic Development – RSA 215-A:3, II-b, RSA 215-C:2, VIII-b, RSA 216-A:3-m, II, RSA 12-A:28, and Chapter 276:27, Laws of 2015 – transfer of funds report for the Bureau of Trails, Division of Parks and Recreation, and the Division of Travel and Tourism Development’s Welcome Information Centers for the quarter ending June 30, 2015

FIS 15-227 Department of Revenue Administration – RSA 21-J:45 – Quarterly Refund Report for the months of July through September 2015

10:30 a.m.

Audits:

State of New Hampshire
Health and Human Services
Division of Child Support Services
Performance Audit Report
October 2015

State of New Hampshire
Department of Environmental Services
State-Owned Dams
Performance Audit Report
October 2015

State of New Hampshire
Department of Environmental Services
Water Division
Internal Control Review
Agency-Income Revenues
October 2015

(12) Date of Next Meeting and Adjournment

FISCAL COMMITTEE OF THE GENERAL COURT

MINUTES

September 25, 2015

The Fiscal Committee of the General Court met on Friday, September 25, 2015 at 10:00 a.m. in Room 210-211 of the Legislative Office Building.

Members in attendance were as follows:

Representative Neal Kurk, Chair
Representative Ken Weyler
Representative Lynne Ober
Representative Cindy Rosenwald (Alternate)
Representative Daniel Eaton
Representative Richard Barry (Alternate)
Senate President Chuck Morse
Senator Gerald Little
Senator Lou D'Allesandro
Senator Andy Sanborn
Senator John Reagan (Alternate)

Chairman Kurk opened the meeting at 10:04 a.m.

ACCEPTANCE OF MINUTES:

On a motion by Senator D'Allesandro, seconded by Representative Weyler, that the minutes of the August 26, 2015 meeting be accepted as written. MOTION ADOPTED.

OLD BUSINESS:

On a motion by Senator Sanborn, seconded by Representative Ober, that all items under Tab (2), Old Business, be removed from the table. MOTION ADOPTED.

Requests to withdraw tabled items were received by the; Department of Health and Human Services (FIS 15-125 Additional Information #2 and FIS 15-126 Additional Information #2), Department of Education (FIS 142 Additional Information #2), and Department of Transportation (FIS 15-173 and FIS 15-175 Additional Information).

On a motion by Senator Sanborn, seconded by Representative Ober, that the Committee accept the requests of the Departments of; Health and Human Services, Education, and Transportation to withdraw tabled items; FIS 15-125, FIS 15-126, FIS 15-142, FIS 15-173 and FIS 15-175. MOTION ADOPTED.

RSA 9:16-a TRANSFERS AUTHORIZED:

CONSENT CALENDAR

The Department of Health and Human Services submitted a letter of intent (FIS 15-207 and FIS 15-208 Additional Information) to withdraw requests; FIS 15-207 – to transfer \$845,471 in general funds through December 31, 2015 and FIS 15-208 –to transfer \$424,830 in general funds through December 31, 2015, which the Committee accepted.

RSA 14:30-a, VI FISCAL COMMITTEE APPROVAL REQUIRED FOR ACCEPTANCE AND EXPENDITURE OF FUNDS OVER \$100,000 FROM ANY NON-STATE SOURCE:

CONSENT CALENDAR

FIS 15-188 Department of Transportation – On a motion by Senator D’Allesandro, seconded by Senator Reagan, that the Committee approve the request of the Department of Transportation to accept and expend \$300,000 in federal funds through December 31, 2015. MOTION ADOPTED.

FIS 15-193 Department of Resources and Economic Development – On a motion by Senator D’Allesandro, seconded by Representative Ober, that the Committee approve the request of the Department of Resources and Economic Development to accept and expend \$199,878 in federal funds through December 30, 2015. MOTION ADOPTED.

RSA 14:30-a, VI FISCAL COMMITTEE APPROVAL REQUIRED FOR ACCEPTANCE AND EXPENDITURE OF FUNDS OVER \$100,000 FROM ANY NON-STATE SOURCE AND RSA 124:15, POSITIONS AUTHORIZED:

CONSENT CALENDAR

FIS 15-194 Department of Justice – Ann Rice, Deputy Attorney General, and Kathleen Carr, Director of Administration, Department of Justice, responded to questions of the Committee.

On a motion by Representative Rosenwald, seconded by Senator D’Allesandro, that the Committee approve the request of the Department of Justice to; 1) accept and expend \$242,367 in other funds through December 31, 2015, and contingent upon approval of #1, further authorization to; 2) establish one (1) full-time temporary Planning Analyst/Data Systems position (LG 24) and 3) establish a consultant position through December 31, 2015. MOTION ADOPTED.

FIS 15-195 Department of Safety – On a motion by Representative Eaton, seconded by Representative Ober, that the Committee approve the request of the Department of Safety to; 1) accept and expend \$7,747,351 in federal funds through December 31, 2015, and 2) establish two (2) part-time temporary Program Assistant positions through December 31, 2015. MOTION ADOPTED.

RSA 7:6-e DISPOSITION OF FUNDS OBTAINED BY THE ATTORNEY GENERAL:

FIS 15-186 Department of Justice – Ann Rice, Deputy Attorney General, and Kathleen Carr, Director of Administration, Department of Justice, responded to questions of the Committee.

On a motion by Representative Ober, seconded by Senator Reagan, that the Committee approve the request of the Department of Justice to retain \$581,177.05 in settlement funds from multistate settlements and request to expend the funds in support of the Department's Consumer/Antitrust Bureau. MOTION ADOPTED.

RSA 21-I:30, II MEDICAL AND SURGICAL BENEFITS:

FIS 15-201 Replacement Department of Administrative Services – Vicki Quiram, Commissioner, Catherine Keane, Director of Risk and Benefits, and Sarah Trask, Senior Financial Analyst Risk and Benefits, Department of Administrative Services responded to questions of the Committee.

A recess was called at 11:23 a.m., and the Committee reconvened at 11:38 a.m.

On a motion by Senator Sanborn, seconded by Senator Little, that the Committee table the replacement request of the Department of Administrative Services for approval of plan design changes to the Retiree Health Benefit Plan effective January 1, 2016, and authority to increase the premium contribution for Under 65 (non-Medicare) retirees from 12.5% to 15% effective April 1, 2016. MOTION ADOPTED. (7-Yes, 1-No)

MISCELLANEOUS:

FIS 15-206 Office of Legislative Budget Assistant – Michael Kane, Legislative Budget Assistant, presented the request to the Committee.

On a motion by Representative Weyler, seconded by Senator Little, that the Committee approve the request of the Office of Legislative Budget Assistant to appoint Christopher Shea as Deputy Legislative Budget Assistant, and to set his salary at letter grade P, step 7, effective September 25, 2015. MOTION ADOPTED.

Michael Kane, Legislative Budget Assistant, requested approval to fill one (1) vacant assistant budget officer position in the Office of Legislative Budget Assistant, Budget Division.

On a motion by Representative Weyler, seconded by Senator Little, that the Committee approve the request of the Office of Legislative Budget Assistant to fill one (1) vacant assistant budget officer position in the Office of Legislative Budget Assistant, Budget Division. MOTION ADOPTED.

INFORMATIONAL MATERIALS:

FIS 15-185 Administrative Office of The Courts – RSA 490:26-h, IV – Donald Goodnow, Director, Administrative Office of The Courts responded to questions of the Committee regarding the Annual Report of Income and Expenditures of the Judicial Branch Information Technology Fund for the period from July 1, 2014 through June 30, 2015.

The informational items were accepted and placed on file.

10:30 a.m.

AUDITS:

State Of New Hampshire, Department of Health and Human Services, Food Protection Section , Performance Audit Report, July 2015 – Stephen Smith, Director of Audits, and Stephen Grady, Senior Audit Manager, Audit Division, Office of Legislative Budget Assistant, presented the report and responded to questions of the Committee. Nicholas Toumpas, Commissioner, Department of Health and Human Services was present to respond to questions of the Committee.

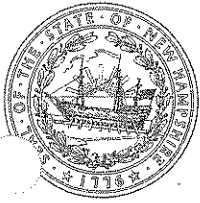
The Committee accepted, placed on file, and released the report in the usual manner on August 26, 2015.

DATE OF NEXT MEETING AND ADJOURNMENT

The next regular meeting of the Fiscal Committee was set for 10:00 a.m. Friday, October 16, 2015.

Representative Weyler made a motion that the meeting adjourn. (Whereupon the meeting adjourned at 12:24 p.m.)

Representative Ken Weyler, Clerk



State of New Hampshire

DEPARTMENT OF ADMINISTRATIVE SERVICES
OFFICE OF THE COMMISSIONER
25 Capitol Street – Room 120
Concord, New Hampshire 03301

FIS 15-201
REPLACEMENT

VICKI V. QUIRAM
Commissioner
(603) 271-3201

JOSEPH B. BOUCHARD
Assistant Commissioner
(603) 271-3204

September 22, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Requested Action

Pursuant to RSA 21-I: 30, II, the Department of Administrative Services (DAS), Risk Management Unit (RMU) submits this request for approval of plan design changes to the Retiree Health Benefit Plan. All medical and prescription drug plan design changes, if approved, will become effective January 1, 2016. In addition, pursuant RSA 21-I:30, XIII and RSA 100-C:11-a, DAS requests authority to increase the premium contribution for Under 65 (non-Medicare) retirees from 12.5% to 15% of premium effective January 1, 2016.

Explanation

RSA 21-I: 30, II requires DAS to operate the Retiree Health Benefit Plan within the funds appropriated at each legislative session. RSA 21-I: 30, II authorizes the Fiscal Committee of the General Court to approve plan design changes to the Retiree Health Benefit Plan. In addition, with the passage of the biennial FYs 16/17 budget, Chapters 276:14 and 276:15 (Laws of 2015) amended RSA 21-I:30, XIII and RSA 100-C:11-a and authorize the Fiscal Committee to approve a recommendation by the DAS Commissioner for the percentage of premium contribution that the under 65 Non-medicare eligible retirees must pay toward the cost of retiree health care benefits.

Background on Retiree Health Benefit Budget Deficit

During the FY 16/17 budget process, DAS estimated a \$5.6 million deficit based on the difference between the agency's estimated required funding level to meet projected expenses of the Retiree Health Benefit Plan and the proposed budgeted amounts. Therefore, in order to meet our mutual goal of providing the most beneficial Retiree Health Benefit Plan possible within the funds appropriated for this purpose, DAS presented options that demonstrated some of the plan design and premium contribution changes that could have been made at that point to meet this goal.

After the Committee of Conference process was completed, DAS requested an updated analysis of the State's Cadillac Tax liability from its health care consultants, The Segal Company (Segal). Segal began this work by updating enrollment numbers and medical and prescription drug (RX) cost trends for the Active and Retiree Health Benefit Plans. In the course of doing this work, Segal analyzed more recent member claims experience and increased the RX cost trend for active employees and retirees by 5% over the trend used in calculating the agency's estimate of required funding. This

increased RX cost trend is directly attributable to the many new medications that are being approved by the Federal Drug Administration (FDA) and that are available for prescribing. Many of these new drugs are high-cost specialty drugs that treat, and sometimes even cure, very serious health conditions.

Based on this increase in the RX trend and the increase in projected retiree RX claims costs, DAS updated its FY 16/17 budget analysis and identified a \$4 million increase in the Retiree Health Benefit Plan deficit. Around the same time as DAS was doing this budget analysis, DAS received notice that it would experience a \$1 million reduction in federal subsidy payments over the biennium to support the RX costs of the Over 65, Medicare eligible retirees. Effective 1/1/15, DAS had enrolled the Over 65 Retirees in a Medicare Prescription Drug Program called an Employer Group Waiver Plan (EGWP) in order to maximize federal revenue to support the Retiree Health Benefit Plan. The \$1 million reduction in federal subsidy brought the projected total FY 16/17 deficit in the Retiree Health Benefit Plan to \$10.6 million. Given its statutory obligation to operate the Retiree Health Benefit Plan within the funds appropriated at each legislative session, DAS began investigating the options it has to change the Retiree Health Benefit Plan in order to operate the benefit within budget.

DAS's Retiree Health Benefit Plan Presentation at 8/26/15 Fiscal Committee Meeting

On August 26, 2015, DAS Commissioner Vicki Quiram and RMU Director Catherine Keane made a presentation to the Fiscal Committee explaining the FY 16/17 deficit as discussed during the budget process, the increased RX trend, and the updated estimated Retiree Health Benefit Plan budget deficit of \$10.6 million. At this presentation, DAS explained that there are many variables that affect health care management including headcount or enrollment, cost trends, premium contributions that are paid by all applicable plan members, and plan design components such as increases in deductibles, co-pays, maximum out-of-pocket expenses that are paid by people using the health plan, as well as cost saving programs such as Site of Service. In addition to reviewing the statutory obligation to manage the Retiree Health Benefit Plan within budget, DAS also explained that it intended to use approximately \$4 million of the Retiree Health Benefit Plan surplus pursuant to its authority under RSA 21-I: 30-e. RSA 21-I: 30-e provides that the Employee and Retiree Risk Management Fund shall be non-lapsing and continually appropriated to DAS.

Another key component of the August 26, 2015 DAS presentation, was a discussion about the tools that DAS does not have available to manage the Retiree Health Benefit Plan. For example, DAS does not have the authority under current law to charge a premium contribution to the 8,800 (as of July 31, 2015) Over 65 retirees. Although the recommended short-term plan design changes proposed in this letter do not include a premium contribution by Over 65 retirees, additional legislation to grant the Fiscal Committee authority to approve a recommendation by the DAS Commissioner to charge a percentage of premium to individuals participating in the Over 65 Retiree Health Benefit Plan would also increase the options available for managing the Retiree Health Benefit Plan if necessary in the future.

Requested Short-Term Changes to the Retiree Health Benefit Plan

DAS worked with Express Scripts, the Pharmacy Benefit Management (PBM) vendor, and with Anthem, the medical vendor, to model many different options involving changes in copays, deductibles and maximum out-of-pocket expenses in order to achieve a balance between plan design changes and premium contribution changes that would minimize the impact on the state's retirees. In doing so, DAS took into consideration that the vast majority of retirees (8,800) are in the Over 65 (Medicare eligible) plan as compared to the lower enrollment in the Under 65 (non-Medicare) plan (3,082). DAS also considered the ages of the individuals in the Over 65 plan since there are approximately 5,000 people over the age of 70, 1,800 people over the age of 80 and nearly 300 people who are over the age of 90. Given the projected deficit of \$10.6 million, it was necessary that some plan design changes to the RX and medical benefits would fall to the 8,800 Over 65 members.

Accordingly, as contained in Tables 1 and 2, DAS recommends the following changes to the Retiree Health Benefit Plan for Under and Over 65 plan members:

(1) Plan design changes, including increases in co pays, deductibles and maximum out of pocket expenses that apply to the RX and medical benefits for both retiree groups effective January 1, 2016. As discussed during the August 26, 2015 Fiscal Committee presentation, on August 31, 2015 DAS notified Express Scripts of the RX plan design changes referenced below in order to meet Express Scripts and Medicare notice deadlines for plan design changes effective January 1, 2016.

(2) An increase in the premium contribution paid by Under 65 retirees from 12.5% of total premium cost to 15% of total premium cost effective January 1, 2016.

DAS also plans to use \$3.8 million of its \$5.57 million retiree health surplus to manage this deficit. In addition, it is important to note that DAS will be working closely with Express Scripts and Anthem to continue to explore cost saving measures and programs. Accordingly, DAS has directed Express Scripts to implement its Compound Management Solution that will limit the dispensing of costly compounded medications to only those that are medically necessary. Compound medications are not FDA approved for safety and/or efficacy. While implementation of the Compound Management Solution is not a plan design change, it is a decision that DAS needs to make to manage the Retiree Health Benefit Plan responsibly.

TABLE 1

Medicare Eligible (Over 65)			
	Current Benefit Plan	Proposed Plan Changes	Biennium Savings (assuming 1/1/16 implementation)
Medical Plan Change Component			
Medicare Part A Deductible (Inpatient Hospital and Skilled Nursing Facility Benefits)	Member pays \$0	\$500	\$1,100,000
Pharmacy Plan Change Component			
Retail Copayments (generic/preferred brand/non-preferred brand)	\$10 / \$20 / \$35	\$10 / \$25 / \$40	\$1,600,000
Mail Copayments (generic/preferred brand/non-preferred brand)	\$1 / \$40 / \$70	\$10 / \$50 / \$80	
Maximum Out-of-Pocket (MOOP)	\$500 Individual \$1,000 Family	\$750 Individual/ \$ 1,500 Family	

TABLE 2

Non-Medicare Eligible (Under 65)				
	Current Benefit Plan	Proposed Plan Changes	Biennium Savings (assuming 1/1/16 implementation)	
Medical Plan Change Component				
PCP Copayment (Including allergy shot, behavioral health, chiropractic, vision & substance abuse)		\$10	\$15	\$2,300,000
In-Network:	Deductible	\$500 Individual/ \$1,000 Family	\$1,000 Individual/ \$2,000 Family	
	Out-of-Pocket Max (OOPM)	\$1,000 Individual/ \$2,000 Family	\$1,500 Individual/ \$3,000 Family	
Out-of-Network:	Deductible	\$650 Individual/ \$1,350 Family	\$2,000 Individual/ \$4,000 Family	
	Coinsurance Maximum	\$1,350 Individual/ \$2,650 Family	\$4,000 Individual/ \$8,000 Family	
	Out-of-Pocket Max (OOPM)	\$2,000 Individual/ \$4,000 Family	\$6,000 Individual/ \$12,000 Family	
High Cost Radiology		\$150 copayment	Subject to Deductible	
Site of Service		None	Implement Site of Service	
Pharmacy Plan Change Component				
Retail Copayments (generic/preferred brand/non-preferred brand)		\$10 / \$20 / \$35	\$10 / \$25 / \$40	
Mail Copayments (generic/preferred brand/non-preferred brand)		\$1 / \$40 / \$70	\$10 / \$50 / \$80	
Maximum Out-of-Pocket (MOOP)		\$500 Individual/ \$1,000 Family	\$750 Individual/ \$1,500 Family	
Premium Contribution				
Monthly Health Premium Contribution Percentage		12.5%	15%	\$1,400,000

Table 3 lists the total projected savings associated with the proposed changes in plan design and premium contributions.

TABLE 3

	<u>Components</u>	<u>Biennium Savings (assuming 1/1/16 implementation)</u>
Medical Plan Design Deductibles and Copayments	<ul style="list-style-type: none"> • Non-Medicare Eligible <ul style="list-style-type: none"> ○ Site of Service ○ PCP Office Visit ○ High Cost Radiology ○ Medical Deductible and Out-of-Pocket Max • Medicare Eligible <ul style="list-style-type: none"> ○ Medicare Part A Deductible 	\$3,400,000
Pharmacy Copayments	<ul style="list-style-type: none"> • Mail Order Copay • Retail Copay 	\$2,000,000
Premium Contributions	<ul style="list-style-type: none"> • Monthly Premium Contribution Increase 	\$1,400,000
Administrative	<ul style="list-style-type: none"> • Retiree Health Benefit Surplus 	\$3,800,000
		\$10,600,000

Based on the changes presented in Tables 1 and 2, DAS at this point in time expects the proposed changes to generate sufficient savings in the short term to operate the Retiree Health Benefit Plan within the projected FY16/17 appropriations. In its regular bimonthly report on Fund 60, DAS will keep the Fiscal Committee informed of the Retiree Health Benefit Plan's budget management. However, if any of the variables such as enrollment, cost trend or even budgeted amounts differ materially from projections used in this analysis, DAS will return to the Fiscal Committee for further modification of the Retiree Health Benefit Plan.

Education of Retirees and State Employees about Changes

Just as DAS did in 2011 to communicate significant changes to the Retiree Health Benefit Plan, DAS is in the process of establishing a comprehensive education and marketing plan to ensure that retirees understand the health benefit plan changes that they will experience. DAS will begin this communication in early October by mailing a letter to retirees explaining the plan design and premium contribution changes and the effective dates of those changes. DAS also plans to host a series of meetings throughout the state so that retirees can learn about the plan design changes. DAS will also be sending an updated benefits brochure to retirees as well as updating its website to reflect these changes. Furthermore, DAS believes it is equally as important to educate state employees about the changes to the Retiree Health Benefit Plan and the requirement that the plan be operated within appropriated funds.

Long Term Retiree Health Benefit Planning

While Tables 1 and 2 present plan changes that help manage the Retiree Health Benefit Plan in the short term, DAS has also been looking at other new and innovative options for the future that will take additional time to coordinate with retirees and to research, evaluate and implement. As DAS looks to the future of the Retiree Health Benefit Program, it will continue to work with the legislature to communicate required funding levels and the changes that will need to be made to the Retiree Health Benefit Plan to ensure that it is operating within appropriated funds. However, given that one-third of all state employees are currently eligible to retire and receive Retiree Health Benefits, DAS expects the numbers of retirees to grow and is awaiting the arrival of the "silver tsunami". Assuming that funding levels are unable to keep pace with headcount and cost trend growth, DAS will have to consider different approaches to providing retiree health benefits. Among the options DAS intends to explore are limited networks and defined contribution plans as well as other innovations that other private and public employers may have implemented. These options require careful consideration and planning and thus are considered as possible long term solutions.

Conclusion

DAS is committed to managing the Retiree Health Benefit Plan budget in order to maximize retiree benefits while also working with the state's retirees to help them understand the changes to their benefits so they can make the best possible decisions when accessing the care they need. DAS appreciates the Fiscal Committee's and legislature's partnership as we work together to manage the needs of the state's retirees and the fiscal constraints experienced by the state.

Respectfully Submitted,



Vicki V. Quiram
Commissioner



Catherine A. Keane
Director of Risk & Benefits

September 25, 2015 Fiscal Committee

Department of Administrative Services Speaking Notes
Vicki Q. Quiram, Commissioner

**Request to Approve Plan Design and Percentage of Premium Contribution
Changes to the Retiree Health Benefit Plan**

- History
 - \$10.6 million deficit in the Retiree Health Budget
 - Retiree Health Benefit budget process FY16/17: throughout each phase of the budget process, DAS projected a \$5.5 million deficit and showed needed plan and premium contribution changes to meet the budget
 - In June 2015, DAS updated the budget presentation and identified a 5% increase in pharmacy trend causing a \$4 million increase in the retiree health benefit budget deficit
 - DAS also received notice of a \$1 million in reduction the federal subsidy for the Employer Group Waiver Plan (EGWP) Medicare Prescription Drug (RX) program for FY16/17
 - The total projected deficit for FY 16/17 for retiree health benefits is \$10.6 million
 - 8/26/15 Fiscal Committee Meeting
 - DAS made a presentation to the Fiscal Committee (see attached)
 - Presentation reviewed the budget process, updated and explained the projected deficit of \$10.6M, and discussed the variables in health care management, laws providing tools to manage the retiree health benefit plan, the management tools unavailable to DAS, and gave examples of options under consideration for changing the plan design and premium contribution, and timeline
- 9/25/15 Update: DAS has met and worked with the Governor's Office, Retirees, Legislators and Unions to obtain input about the options under consideration
 - Based on input from these conversations, the proposed plan in the request before the Fiscal Committee does not include options such as eliminating RX coverage, instituting a premium contribution for over 65 retirees, and increasing co pays and maximum out of pocket expenses for the RX benefit. And, it does include cost saving measures such as Site of Service, Compass(now Vitals Smartshopper) for non Medicare Under 65 retirees.

- DAS Short Term proposal for management the Retiree Health Benefit plan
 - Timing Concerns
 - Delay requires deeper cuts or increased funding
 - Each month of delay costs the plan \$378,000
 - Over 65 RX benefit changes (EGWP)
 - As discussed at the 8/26/15 Fiscal Committee meeting, DAS was required to submit the RX changes to Express Scripts by 8/31/15 to meet Medicare regulation timeframes
 - If Over 65 RX changes are not approved today, by Medicare protocol, DAS must pull the RX changes submitted to Express Scripts by 9/28/15 (Monday)
 - Thereafter, DAS can only implement changes to the Over 65 RX benefit effective 1/1/17 for a total savings loss of \$1.1 million

- Long Term Planning
 - DAS will be researching long term options to manage retiree health benefits such as defined contribution models, limited networks and other innovations above the cost saving and plan changes already made
 - This will be a lengthy process
 - Research and evaluation of various models
 - Procurement : drafting an RFP, evaluation of bids, contracting
 - Retiree education
 - Implementation

- Since the Employee and Retiree Health Benefit Plan became self-funded in 2003, DAS has worked to control health care costs
 - Procurement of third party administrators: competitive bidding process for contracts every 3-5 years to control administrative and claims costs
 - Anthem 2015 contract: amendment and extension resulting in \$3 million savings over 3 years in administrative costs
 - Express Scripts 2014 contract: negotiated a \$2.2 million reduction in the price that was bid
 - Delta Dental 2014 contract: negotiated an 11% reduction in the administrative fee; since 2007, the administrative fee has dropped 41%
 - Anthem
 - Medical trend for 2013- 2014 was -1.6%
 - Anthem has 80% of Primary Care Physicians (PCPs) in an “Enhanced Personal Health Care” medical home model
 - Anthem has an Accountable Care Organization (ACO) with Dartmouth Hitchcock
 - Compass/Vital Smartshopper: in 2014, state saved approximately \$4 million in claims cost
 - EGWP: moved Over 65 retirees (8800) into the EGWP program in 2015 to increase federal revenue resulting in a \$1 million savings

TABLE 1: Health Plan Surplus - Detailed by Plan

Health Plan Surplus as of 8/31/15				
	Actives (HMO/POS)	Retirees (Under 65/Over 65)	Troopers (HMO/POS)	Total
Accrual Basis Fund Balance as of 8/31/15	\$ 23,459,000	\$ 14,402,000	\$ 4,002,000	\$ 41,863,000
IBNR and Reserves:				
FY15 IBNR	\$ (9,500,000)	\$ (5,095,000)	\$ (395,000)	\$ (14,990,000)
FY16 Estimated Statutory Reserves (5%)	\$ (9,159,000)	\$ (4,063,000)	\$ (3,844,000)	\$ (16,903,000)
Accrual Basis Fund Surplus as of 8/31/15	\$ 4,800,000	\$ 5,244,000	\$ (237,000)	\$ 9,970,000
<i>Total Members as of 7/31/15 (per NHFirst)</i>	<i>24,171</i>	<i>11,882</i>	<i>860</i>	<i>36,913</i>

TABLE 2: Retiree Health

Retiree Health Budget		Projections	
	FY15	FY16	FY17
Retiree Health			
Total Amount Budgeted	\$ 69,490,368	\$ 69,800,000	\$ 72,800,000
Total Premium Collected (Actual FY15 Unaudited)	\$ 68,402,193		
Actual FY15 Retiree Health Expense (Net of RX Rebates, Subsidies and Discounts)	\$ 67,300,000	\$ 73,100,000	\$ 80,100,000
Surplus in FY15	\$ 1,102,193	\$ (3,300,000)	\$ (7,300,000)
Premium Contribution from Retiree Under 65 Contributions	\$ 4,408,785	6.6% of total expenses	
Retiree Health Plan Enrollment			
Number of Retirees Enrolled			
Over 65 as of July 31, 2015	8,800		
Under 65 Subscribers as of July 31, 2015	2,276		
Under 65 Dependents as of July 31, 2015	806		
Total Retirees	11,882		
Retiree Health Monthly Cost (Premium Rate)			
Cost Per Retiree (monthly premium rate)	CY2015	Retiree Premium Contribution per month	
Over 65 Subscriber	\$ 334	\$ -	
Under 65 Subscriber			
Retiree Only	\$ 911	\$ 113.86	
Retiree Plus Spouse Plan	\$ 1,822	\$ 227.73	
Retiree Plus Spouse & Children	\$ 2,465	227.73 + 643.43 <i>(full cost of child plan)</i>	

DEPARTMENT

*Administrative
Services*

NEW HAMPSHIRE

Pharmacy Costs and The Health Benefit Plan

Retiree Health Budget Impacts

House Handout on March 9, 2015,
Page 2 of 2

DAS FY16/17 Retiree Health Proposed Plan Changes
For Information - Senate 5/4/15

	A	B	C	D	E	F	G	H	I
1						FY16	FY17	Biennium	
2					Governors Recommended Budget	\$ 69,832,381	\$ 72,867,373	\$ 142,699,754	
3					Estimated FY16/17 Budget	\$ 71,786,257	76,469,205	\$ 148,255,462	
4					Budget (shortfall)/excess	\$ (1,953,876)	\$ (3,601,832)	\$ (5,555,708)	

Retiree Under 65 Premium Contribution Rate Options:

		FY16			FY17			Total FY16/17 Increase in Premium Contribution Revenue:
	New Percentage:	Retiree Rate:	Retiree + 1 Rate:	Revenue Increase from 12.5%:	Retiree Rate:	Retiree + 1 Rate:	Revenue Increase from 12.5%:	
17	12.5% (Current Rate)	\$ 116.84	\$ 233.68		\$ 123.23	\$ 246.45		
18	13%	\$ 121.51	\$ 243.02	\$ 55,000	\$ 128.15	\$ 256.31	\$ 175,282	\$ 230,282
19	14%	\$ 130.86	\$ 261.72	\$ 395,000	\$ 138.01	\$ 276.03	\$ 526,052	\$ 921,052
20	15% (Item #5 above)	\$ 140.21	\$ 280.41	\$ 735,000	\$ 147.87	\$ 295.74	\$ 877,000	\$ 1,612,000
21	16%	\$ 149.55	\$ 299.11	\$ 1,074,886	\$ 157.73	\$ 315.46	\$ 1,227,503	\$ 2,302,389
22	17%	\$ 158.90	\$ 317.80	\$ 1,415,021	\$ 167.59	\$ 335.17	\$ 1,578,186	\$ 2,993,207
23	18%	\$ 168.25	\$ 336.49	\$ 1,755,157	\$ 177.44	\$ 354.89	\$ 1,928,772	\$ 3,683,929
24	19%	\$ 177.59	\$ 355.19	\$ 2,095,199	\$ 187.30	\$ 374.61	\$ 2,279,542	\$ 4,374,741
25	20%	\$ 186.94	\$ 373.88	\$ 2,435,334	\$ 197.16	\$ 394.32	\$ 2,630,224	\$ 5,065,558

Active single employee pays \$43.33 PM, active employee plus one pays \$86.67 PM, and active employee plus family pays \$130.00 PM.

Medicare Part B pays \$104.90 per month in CY2015

Total Fund Impact: Premium Contribution	
FY16	FY17

RETIREE HEALTH FY16/17 COMPARE BUDGET TO AGENCY ESTIMATE

(in millions)

	FY16	FY17	Total Biennium
Agency Estimate/Request (3/9/15 House, 5/4/15 Senate)	\$71.8	\$76.5	\$148.3
Budget (Governor, House, & Senate)	\$69.8	\$72.9	\$142.7
Budget Shortfall	\$ (2.0)	\$ (3.6)	\$ (5.6)

RETIREE HEALTH FY16/17 COMPARE BUDGET TO UPDATED AGENCY ESTIMATE

INCREASING PHARMACY TREND/Actual Enrollment/Federal Subsidy Decrease

(in millions)

	FY16	FY17	Total Biennium
Updated Agency Estimate (July 2015)	\$72.8	\$79.5	\$152.3
Budget (Governor, House, & Senate)	\$69.8	\$72.9	\$142.7

DEPARTMENT

*Administrative
Services*

NEW HAMPSHIRE

The Variables in Health Care Management

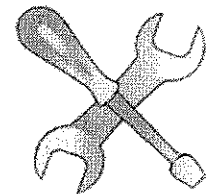
- Enrollment/Headcount
- Cost Trends
- Premium Contribution
- Plan Design
 - Deductibles
 - Co-Pays
 - Max. Out of Pocket (MOOP)
 - Site of Service

Managing the Retiree Health Deficit for FYs 16 and 17

- DAS must operate the Retiree Health Benefit Plan within the limits of the funds appropriated at each legislative session. RSA 21-I: 30
- DAS Commissioner is responsible to manage the HBP. RSA 21-I:13, XI
- Changes to Retiree HBP are authorized with approval of the Fiscal Committee. RSA 21-I:30

Tools Outside the DAS Toolbox

- DAS does not have the authority to change premium contributions for < 65 retirees from 12.5% with approval of the Fiscal Committee
- DAS does not have the authority to charge and change a premium contribution for > 65 retirees with approval of the Fiscal Committee




Existing and new tools (legislation) need to be available for DAS to

Examples of Options

	Option A	Option B	Option C
Surplus	\$4m	\$4m	\$4m
Medical:			
U65:	Ded: \$1k/\$2k Copay: \$15/\$30 Site of Service	Ded: \$1k/\$2k Copay: \$15/\$30 Site of Service	Ded: \$750/\$1500 Copay: \$15/\$30 Site of Service
	\$2.3m	\$2.3m	\$1.3m
O65:	N/A	N/A	Part A: Ded. \$500 \$1m
Pharmacy:			
U65 & O65:	Retail: 10/25/40 Mail: 10/50/80 MOOP: 750/1500	Retail: 15/30/45 Mail: 30/60/90 MOOP: 750/1500	Retail: 15/30/45 Mail: 30/60/90 MOOP: 750/1500
	\$2m	\$4.5	\$4.5
Premium			

Timeline

- 
- 8/31/15: DAS must inform the PBM by 8/31/15 of changes to retiree health RX plan to meet Medicare regulation timelines
 - If plan design changes are not approved on 9/25/15, DAS will have to pull them back from the PBM.
 - 9/25/15: DAS will present Retiree Health Benefit Plan design options to Fiscal Committee for approval
 - 10/1/15- 12/31/15: Retiree Education about plan design and premium contribution changes and effective dates
 - 1/1/16: Effective date of plan design changes
 - Introduction of legislation to put tools in DAS toolbox, if needed
 - 4/1/16- 5/30/16: Possible return to Fiscal Committee for additional plan design changes if legislative initiatives fail

Next Steps

- DAS needs and welcomes your input
- Prepare recommended options for final plan decision at September Fiscal Committee
- Identify sponsors for fast track legislation, if included in recommended options
- After short term (FY16/17) changes implemented, begin work on long term planning for retiree health benefits that provide optimum benefit for retirees within legislative authority and



State of New Hampshire
DEPARTMENT OF ADMINISTRATIVE SERVICES
OFFICE OF THE COMMISSIONER
25 Capitol Street – Room 120
Concord, New Hampshire 03301

FIS 15 201

VICKI V. QUIRAM
Commissioner
(603)-271-3201

JOSEPH B. BOUCHARD
Assistant Commissioner
(603)-271-3204

September 14, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 21-I: 30, II, the Department of Administrative Services (DAS), Risk Management Unit (RMU) submits this request for approval of plan design changes to the Retiree Health Benefit Plan. All medical and prescription drug plan design changes, if approved, will become effective January 1, 2016. DAS also requests authority to increase the premium contribution for Under 65 (non-Medicare) retirees from 12.5% to 15% effective April 1, 2016; this request to increase the premium contribution amount is predicated on the passage of Fast Track legislation in the 2016 legislative session.

EXPLANATION

RSA 21-I: 30, II requires DAS to operate the Retiree Health Benefit Plan within the funds appropriated at each legislative session. RSA 21-I: 30, II also authorizes the Fiscal Committee of the General Court to approve plan design changes to the Retiree Health Benefit Plan.

Background on Retiree Health Benefit Budget Deficit

During the FY 16/17 budget process, DAS estimated a \$5.6 million deficit based on the difference between the agency's estimated required funding level to meet projected expenses of the Retiree Health Benefit Plan and the proposed budgeted amounts. Therefore, in order to meet our mutual goal of providing the most beneficial Retiree Health Benefit Plan possible within the funds appropriated for this purpose, DAS presented options that demonstrated some of the plan design and premium contribution changes that could have been made at that point to meet this goal.

After the Committee of Conference process was completed, DAS requested an updated analysis of the State's Cadillac Tax liability from its health care consultants, The Segal Company (Segal). Segal began this work by updating enrollment numbers and medical and prescription drug (RX) cost trends for the Active and Retiree Health Benefit Plans. In the course of doing this work, Segal analyzed more recent member claims experience and increased the RX cost trend for active employees and retirees by 5% over the trend used in calculating the agency's estimate of required funding. This increased RX cost trend is directly attributable to the many new medications that are being approved by the Federal Drug Administration (FDA) and that are available for prescribing. Many of these new drugs are high-cost specialty drugs that treat, and sometimes even cure, very serious health conditions.

Based on this increase in the RX trend and the increase in projected retiree RX claims costs, DAS updated its FY 16/17 budget analysis and identified a \$4 million increase in the Retiree Health Benefit Plan deficit. Around the same time as DAS was doing this budget analysis, DAS received notice that it would experience a \$1 million reduction in federal subsidy payments over the biennium to support the RX costs of the Over 65, Medicare eligible retirees. Effective 1/1/15, DAS had enrolled the Over 65 Retirees in a Medicare Prescription Drug Program called an Employer Group Waiver Plan (EGWP) in order to maximize federal revenue to support the Retiree Health Benefit Plan. The \$1 million reduction in federal subsidy brought the projected total FY 16/17 deficit in the Retiree Health Benefit Plan to \$10.6 million. Given its statutory obligation to operate the Retiree Health Benefit Plan within the funds appropriated at each legislative session, DAS began investigating the options it has to change the Retiree Health Benefit Plan in order to operate the benefit within budget.

DAS's Retiree Health Benefit Plan Presentation at 8/26/15 Fiscal Committee Meeting

On August 26, 2015, DAS Commissioner Vicki Quiram and RMU Director Catherine Keane made a presentation to the Fiscal Committee explaining the FY 16/17 deficit as discussed during the budget process, the increased RX trend, and the updated estimated Retiree Health Benefit Plan budget deficit of \$10.6 million. At this presentation, DAS explained that there are many variables that affect health care management including headcount or enrollment, cost trends, premium contributions that are paid by all applicable plan members, and plan design components such as increases in deductibles, co-pays, maximum out-of-pocket expenses that are paid by people using the health plan, as well as cost saving programs such as Site of Service. In addition to reviewing the statutory obligation to manage the Retiree Health Benefit Plan within budget, DAS also explained that it intended to use approximately \$4 million of the Retiree Health Benefit Plan surplus pursuant to its authority under RSA 21-I: 30-e. RSA 21-I: 30-e provides that the Employee and Retiree Risk Management Fund shall be non-lapsing and continually appropriated to DAS.

Another key component of the August 26, 2015 DAS presentation, was a discussion about the tools that DAS does not have available to manage the Retiree Health Benefit Plan. For example, at this point in time, DAS does not have the authority under current law to change the 12.5% premium contribution that 3,082 (as of July 31, 2015) Under 65 retiree participants pay toward the cost of their retiree health benefit. In addition, DAS does not have the authority under current law to charge a premium contribution to the 8,800 (as of July 31, 2015) Over 65 retirees.

For this reason, the plan proposed by DAS in this request to increase the Under 65 premium contribution percentage from 12.5% to 15% is predicated on the passage of Fast Track legislation that would grant the Fiscal Committee the authority to approve an increase in the premium contribution for Under 65 retirees from 12.5% to a percentage recommended by the DAS Commissioner. While the timing of this request may be unusual, time is of the essence with respect to managing retiree health benefit costs and communicating comprehensively and clearly to retirees about the changes to the Retiree Health Benefit Plan that they will experience. Although the recommended short-term plan design changes proposed in this letter do not include a premium contribution by Over 65 retirees, additional legislation to grant the Fiscal Committee authority to approve a recommendation by the DAS Commissioner to charge a percentage of premium to individuals participating in the Over 65 Retiree

Health Benefit Plan would also increase the options available for managing the Retiree Health Benefit Plan if necessary in the future.

Requested Short-Term Changes to the Retiree Health Benefit Plan

DAS worked with Express Scripts, the Pharmacy Benefit Management (PBM) vendor, and with Anthem, the medical vendor, to model many different options involving changes in copays, deductibles and maximum out-of-pocket expenses in order to achieve a balance between plan design changes and premium contribution changes that would minimize the impact on the state's retirees. In doing so, DAS took into consideration that the vast majority of retirees (8,800) are in the Over 65 (Medicare eligible) plan as compared to the lower enrollment in the Under 65 (non-Medicare) plan (3,082). DAS also considered the ages of the individuals in the Over 65 plan since there are approximately 5,000 people over the age of 70, 1,800 people over the age of 80 and nearly 300 people who are over the age of 90. Given the projected deficit of \$10.6 million, it was necessary that some plan design changes to the RX and medical benefits would fall to the 8,800 Over 65 members.

Accordingly, as contained in Tables 1 and 2, DAS recommends the following changes to the Retiree Health Benefit Plan for Under and Over 65 plan members:

(1) Plan design changes, including increases in co pays, deductibles and maximum out of pocket expenses that apply to the RX and medical benefits for both retiree groups. As discussed during the 8/26/15 Fiscal Committee presentation, on 8/31/15 DAS notified Express Scripts of the RX plan design changes referenced below in order to meet Express Scripts and Medicare notice deadlines for plan design changes effective 1/1/16.

(2) An increase in the premium contribution paid by Under 65 retirees from 12.5% of total premium cost to 15% of total premium cost effective 4/1/16. This recommendation anticipates the passage of Fast Track legislation authorizing the Fiscal Committee to approve a change in premium contribution as recommended by the DAS Commissioner.

DAS also plans to use \$4.1 million of its \$5.57 million retiree health surplus to manage this deficit. In addition, it is important to note that DAS will be working closely with Express Scripts and Anthem to continue to explore cost saving measures and programs. Accordingly, DAS has directed Express Scripts to implement effective 1/1/16 its Compound Medication Solution that will limit the dispensing of costly compound medications to only those that are medically necessary. Many compound medications are not FDA approved for safety and efficacy. While implementation of the Compound Medication Solution is not a plan design change, it is a decision that DAS needs to make responsibly to manage the Retiree Health Benefit Plan seriously.

TABLE 1

Medicare Eligible (Over 65)			
	Current Benefit Plan	Proposed Plan Changes	Biennium Savings (assuming 1/1/16 implementation)
Medical Plan Change Component			
Medicare Part A Deductible (Inpatient Hospital and Skilled Nursing Facility Benefits)	Member pays \$0	\$500	\$1,100,000
Pharmacy Plan Change Component			
Retail Copayments (generic/preferred brand/non-preferred brand)	\$10 / \$20 / \$35	\$10 / \$25 / \$40	\$1,600,000
Mail Copayments (generic/preferred brand/non-preferred brand)	\$1 / \$40 / \$70	\$10 / \$50 / \$80	
Maximum Out-of-Pocket (MOOP)	\$500 Individual \$1,000 Family	\$750 Individual/ \$ 1,500 Family	

TABLE 2

Non-Medicare Eligible (Under 65)				
	Current Benefit Plan	Proposed Plan Changes	Biennium Savings (assuming 1/1/16 implementation)	
Medical Plan Change Component				
PCP Copayment (Including allergy shot, behavioral health, chiropractic, vision & substance abuse)		\$10	\$15	\$2,300,000
In-Network:	Deductible	\$500 Individual/ \$1,000 Family	\$1,000 Individual/ \$2,000 Family	
	Out-of-Pocket Max (OOPM)	\$1,000 Individual/ \$2,000 Family	\$1,500 Individual/ \$3,000 Family	
Out-of-Network:	Deductible	\$650 Individual/ \$1,350 Family	\$2,000 Individual/ \$4,000 Family	
	Coinsurance Maximum	\$1,350 Individual/ \$2,650 Family	\$4,000 Individual/ \$8,000 Family	
	Out-of-Pocket Max (OOPM)	\$2,000 Individual/ \$4,000 Family	\$6,000 Individual/ \$12,000 Family	
High Cost Radiology		\$150 copayment	Subject to Deductible	
Site of Service		None	Implement Site of Service	
Pharmacy Plan Change Component				
Retail Copayments (generic/preferred brand/non-preferred brand)		\$10 / \$20 / \$35	\$10 / \$25 / \$40	\$400,000
Mail Copayments (generic/preferred brand/non-preferred brand)		\$1 / \$40 / \$70	\$10 / \$50 / \$80	
Maximum Out-of-Pocket (MOOP)		\$500 Individual/ \$1,000 Family	\$750 Individual/ \$1,500 Family	
Premium Contribution				
Monthly Health Premium Contribution Percentage		12.5%	15%	\$1,100,000

Table 3 lists the total projected savings associated with the proposed changes in plan design and premium contributions.

TABLE 3

	<u>Components</u>	<u>Biennium Savings (assuming 1/1/16 implementation)</u>
Medical Plan Design Deductibles and Copayments	<ul style="list-style-type: none"> • Non-Medicare Eligible <ul style="list-style-type: none"> ○ Site of Service ○ PCP Office Visit ○ High Cost Radiology ○ Medical Deductible and Out-of-Pocket Max • Medicare Eligible <ul style="list-style-type: none"> ○ Medicare Part A Deductible 	\$3,400,000
Pharmacy Copayments	<ul style="list-style-type: none"> • Mail Order Copay • Retail Copay 	\$2,000,000
Premium Contributions	<ul style="list-style-type: none"> • Monthly Premium Contribution Increase <i>(assuming 4/1/16 effective date)</i> 	\$1,100,000
Administrative	<ul style="list-style-type: none"> • Retiree Health Benefit Surplus 	\$4,100,000
		\$10,600,000

At this point in time, based on the changes presented in Tables 1 and 2 and assuming the passage of Fast Track legislation authorizing Fiscal Committee approval of the premium contribution increase for Under 65 retirees, DAS expects the proposed changes to generate sufficient savings in the short term to operate the Retiree Health Benefit Plan within the projected FY16/17 appropriations. In its regular bimonthly report on Fund 60, DAS will keep the Fiscal Committee informed of the Retiree Health Benefit Plan's budget management. However, if any of the variables such as enrollment, cost trend or even budgeted amounts differ materially from projections used in this analysis, DAS will return to the Fiscal Committee for further modification of the Retiree Health Benefit Plan. For example, if Fast Track legislation authorizing the Fiscal Committee to make changes in the premium contribution for Under 65 retirees is not successful, DAS will return swiftly to Fiscal Committee with a proposal to make further changes to the Retiree Health Benefit Plan.

Education of Retirees and State Employees about Changes

Just as DAS did in 2011 to communicate significant changes to the Retiree Health Benefit Plan, DAS is in the process of establishing a comprehensive education and marketing plan to ensure that retirees understand the health benefit plan changes that they will experience. DAS will begin this communication in early October by mailing a letter to retirees explaining the plan design and premium contribution changes and the effective dates of those changes. DAS also plans to host a series of meetings throughout the state so that retirees can learn about the plan design changes. DAS will also be sending an updated benefits brochure to retirees as well as updating its website to reflect these changes. Furthermore, DAS believes it is equally as important to educate state employees about the changes to the Retiree Health Benefit Plan and the requirement that the plan be operated within appropriated funds.

Long Term Retiree Health Benefit Planning

While Tables 1 and 2 present plan changes that help manage the Retiree Health Benefit Plan in the short term, DAS has also been looking at other new and innovative options for the future that will take additional time to coordinate with retirees and to research, evaluate and implement. As DAS looks to the future of the Retiree Health Benefit Program, it will continue to work with the legislature to communicate required funding levels and the changes that will need to be made to the Retiree Health Benefit Plan to ensure that it is operating within appropriated funds. However, given that one-third of all state employees are currently eligible to retire and receive Retiree Health Benefits, DAS expects the numbers of retirees to grow and is awaiting the arrival of the "silver tsunami". Assuming that funding levels are unable to keep pace with headcount and cost trend growth, DAS will have to consider different approaches to providing retiree health benefits. Among the options DAS intends to explore are limited networks and defined contribution plans as well as other innovations that other private and public employers may have implemented. These options require careful consideration and planning and thus are considered as possible long term solutions.

Conclusion

DAS is committed to managing the Retiree Health Benefit Plan budget in order to maximize retiree benefits while also working with the state's retirees to help them understand the changes to their benefits so they can make the best possible decisions when accessing the care they need. DAS appreciates the Fiscal Committee's and legislature's partnership as we work together to manage the needs of the state's retirees and the fiscal constraints experienced by the state.

Respectfully Submitted,



Vicki V. Quiram
Commissioner



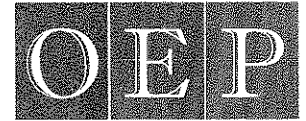
Catherine A. Keane
Administrator, Risk & Benefits



MARGARET WOOD HASSAN
GOVERNOR

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FIS 15 210

September 28, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, NH 03301

Her Excellency, Governor Margaret Wood Hassan
And the Honorable Council
State House
Concord, NH 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, the Office of Energy and Planning (OEP) respectfully requests authorization to **RETROACTIVELY** amend Fiscal Item #13-286 approved by the Legislative Fiscal Committee on January 10, 2014 and Governor and Executive Council on January 15, 2014, Item #3, by extending the performance period of the Clean Energy States Alliance (CESA) - New England Solar Cost-Reduction Partnership, from the original end date of June 30, 2015 to March 31, 2016, upon Joint Fiscal Committee and Governor and Council approval. No additional funding is involved in this time extension request. 100% Other Funds (US Department of Energy through CESA).

EXPLANATION

This request is **RETROACTIVE** due to an administrative oversight. The original contract stated that OEP would seek to extend the performance period if the U.S. Department of Energy approved phase two of the project, which it did in April 2015, and we inadvertently overlooked the deadline due to staff changes.

The New England Solar Cost-Reduction Partnership continues to help strengthen the rooftop solar market in the five-state region including New Hampshire, Connecticut, Massachusetts, Rhode Island and Vermont. CESA, a national nonprofit, will continue to lead the partnership and coordinate the initiative under the US Department of Energy's SunShot Initiative Rooftop Solar Challenge II program.

In phase two of this project, OEP is focusing on providing training for New Hampshire firefighters responding to fires in homes with rooftop solar systems, and working with municipalities on implementing solar permitting processes. In the first year of the project, OEP developed guides to help reduce homeowners' costs of installing solar panels, and to provide resources to municipalities seeking to develop solar permitting processes. Information is available at http://www.nh.gov/oep/energy/saving-energy/index.htm#renewable_energy.

In the event Other Funds become no longer available, General Funds will not be requested to support this program.

Respectfully Submitted,



Meredith A. Hatfield
Director

ASSISTANCE AGREEMENT

1. Award No. 15EE0006305		2. Modification No. 0003	3. Effective Date 09/30/2013	4. CFDA No. 81.117
5. Awarded To CLEAN ENERGY STATES ALLIANCE, INC. Attn: MARIA BLAIS SUITE 1 MONTPELIER VT 056022927		6. Sponsoring Office Energy Effcy & Renewable Energy		7. Period of Performance 09/30/2013 through 03/31/2016
8. Type of Agreement <input type="checkbox"/> Grant <input checked="" type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority EPAct 2005		10. Purchase Request or Funding Document No. 15EE002192	
11. Remittance Address CLEAN ENERGY STATES ALLIANCE, INC. Attn: MARIA BLAIS SUITE 1 MONTPELIER VT 056022927		12. Total Amount Govt. Share: \$1,500,000.00 Cost Share : \$375,000.00 Total : \$1,875,000.00		13. Funds Obligated This action: \$0.00 Total : \$1,500,000.00
14. Principal Investigator Erren Leon Phone: 978-317-4559		15. Program Manager Rose Marie S. Holsing Phone: 202-287-1793		16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 15013 Denver West Parkway Golden CO 80401
17. Submit Payment Requests To		18. Paying Office		19. Submit Reports To
20. Accounting and Appropriation Data See Schedule				
21. Research Title and/or Description of Project NEW ENGLAND SOLAR COST-REDUCTION PARTNERSHIP				
For the Recipient			For the United States of America	
22. Signature of Person Authorized to Sign			25. Signature of Grants/Agreements Officer Signature on File	
23. Name and Title		24. Date Signed	26. Name of Officer Diana Rebekah Bobo	27. Date Signed 04/21/2015

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0006305/0003

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NAME OF OFFEROR OR CONTRACTOR
CLEAN ENERGY STATES ALLIANCE, INC.

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 786706650</p> <p>The purposes of this modification are to:</p> <ol style="list-style-type: none"> 1) Approve the continuation application, allowing the Recipient to move from Budget Period 1 to Budget Period 2; 2) Extend the Period of Performance end date, as shown in Block 7; 3) Delete and replace Attachment 1, "Statement of Project Objectives"; 4) Delete and replace the Special Terms and Conditions, to incorporate the following changes: <ol style="list-style-type: none"> a. Delete and replace Provision 15, "Continuation Application and Funding," with "Reserved"; and b. Delete and replace Provision 18, "Funding of Budget Periods," with "Reserved". <p>The Project Period for this award is 09/30/2013 through 03/31/2016 consisting of the following Budget Periods:</p> <p>Budget Period 1: 09/30/2013 to 03/31/2015 Budget Period 2: 04/01/2015 to 03/31/2016</p> <p>In Block 7 of the Assistance Agreement, the Period of Performance reflects the beginning of the Project Period through the end of the current Budget Period.</p> <p>Additional future DOE funding and additional budget periods are not contemplated under this award. Funding for all awards and future budget periods is contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.</p> <p>DOE Award Administrator: Fania Gordon E-mail: fania.gordon@ee.doe.gov Phone: 720-356-1546</p> <p>DOE Project Officer: Rose Marie Holsing E-mail: rosemarie.holsing@ee.doe.gov Phone: 202-287-1793</p> <p>Recipient Business Officer: Anthony Vargo E-mail: tony@cleanegroup.org</p> <p>Continued ...</p>				

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0006305/0003

PAGE OF
3 | 3

NAME OF OFFEROR OR CONTRACTOR
CLEAN ENERGY STATES ALLIANCE, INC.

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>Phone: 802-223-2554 x214</p> <p>Recipient Principal Investigator: Warren Leon E-mail: wleon@cleanegroup.org Phone: 978-317-4559</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 information contained in the electronic message; and, (C) Submission via FedConnect constitutes electronically signed documents." ASAP: YES Extent Competed: COMPETED Davis-Bacon Act: NO</p>				



MARGARET WOOD HASSAN
GOVERNOR

STATE OF NEW HAMPSHIRE
OFFICE OF ENERGY AND PLANNING
107 Pleasant Street, Johnson Hall
Concord, NH 03301-3834
Telephone: (603) 271-2155
Fax: (603) 271-2615



December 16, 2013

The Honorable Mary Jane Wallner, Chairman
Fiscal Committee of the General Court
State House
Concord, NH 03301

Approval by the Governor
and Council on 01-15-14
Agenda Item 3

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, NH 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, the Office of Energy and Planning (OEP) respectfully requests authorization to **RETROACTIVELY** accept and expend funds in the amount of \$99,501.00 from the U.S. Department of Energy (US DOE), through the Clean Energy States Alliance (CESA), to participate in the New England Solar Cost-Reduction Partnership, effective September 30, 2013 upon Governor and Council approval through June 30, 2015. 100% Other Funds

01-02-02-024010-65100000 FY 2014 State Energy Programs				
Source of Funds				
Class	Description	Current Appropriation w/FY13 Balance Forward	Increase (Decrease)	Modified Budget
000-404590	Federal Funds	383,263.78	0.00	383,263.78
001-403543	Transfers from Other Agencies	0.00	0.00	0.00
007-403558	Agency Income	0.00	99,501.00	99,501.00
009-403544	Agency Income	402,231.37	0.00	402,231.37
Totals		785,495.15	99,501.00	884,996.15

Class	Description	Current Appropriation w/FY13 Balance Forward	Increase (Decrease)	Modified Budget
016-500141	Personal Services Non Class	47,500.00	0.00	47,500.00
020-500200	Current Expenses	800.00	2,678.00	3,478.00
026-500251	Organizational Dues	8,000.00	0.00	8,000.00
030-500310	Equipment New Replacement	1.00	0.00	1.00
039-500188	Telecommunications	750.00	472.00	1,222.00
041-500801	Audit Fund Set Aside	137.00	326.00	463.00
042-500620	Additional Fringe Benefits	4,988.00	0.00	4,988.00
049-500420	Transfer to Other State Agency	15,300.55	0.00	15,300.55
060-500601	Benefits	34,964.00	0.00	34,964.00

070-500704	In-State Travel Reimbursement	500.00	617.00	1,117.00
080-500719	Out-of-State Travel Reimbursement	3,500.00	6,539.00	10,039.00
102-500731	Contracts for Program Services	269,054.60	88,869.00	357,923.60
103-502664	Contracts for Operational Services	400,000.00	0.00	400,000.00
Totals		785,495.15	99,501.00	884,996.15

EXPLANATION

This request is **RETROACTIVE** due to the timing of the contract negotiations between OEP and CESA, and impacts related to the Government shutdown.

The *New England Solar Cost-Reduction Partnership* (Partnership) will help strengthen the solar market in the five-state region of New Hampshire, Connecticut, Massachusetts, Rhode Island and Vermont. The Partnership will refine and deploy innovations developed in the region for the US DOE Rooftop Solar Challenge I, as appropriate in each state, as well as solar best practices from across the region. CESA, a national nonprofit, will lead the partnership and coordinate the initiative, which has been awarded \$1.5 million under the US DOE SunShot Initiative Rooftop Solar Challenge II program.

Through this Partnership, OEP will develop initiatives, in partnership with key stakeholders, to advance solar photovoltaic (PV) deployment by reducing solar soft costs in the State of New Hampshire. These initiatives include reviewing local PV permitting and zoning policies and disseminating a model process for New Hampshire municipalities; reviewing the interconnection and approval process for the state's electric utilities and encouraging streamlining of the application process to reduce costs; and sharing information with other New England states in the Partnership. Four municipalities in New Hampshire have agreed to participate actively in the project; the cities of Berlin, Concord, Keene and Nashua, and the project will benefit all other interested municipalities.

The total grant for OEP's participation in the Partnership will not exceed \$150,000.00. In Budget Period 1, September 30, 2013 through March 2015, funding will be \$113,750.00. OEP seeks approval for \$99,501.00 at this time to cover anticipated expenses needed for the duration of Fiscal Year 2014. In Budget Period 2, April, 2015 through March, 2016, contingent upon US DOE's determination to continue funding the Project, funding will be \$36,250.00. As with other federal grants, OEP must provide a match, resulting in a \$6,840.00 in-kind cost share for Budget Period 1, and a \$4,560.00 in-kind cost share for Budget Period 2 to fulfill the US DOE award requirements. OEP will incur a total cost of \$11,400.00 over the duration of this Partnership. The cost share will be met through existing staff time that will be devoted to this project.

OEP did not anticipate when the FY14/15 budget was developed that it would receive these funds and is therefore requesting that these funds be added to its budget at this time in order to benefit from this partnership.

Funds are requested for the following purposes:

Class 020 – Current Expenses	To cover state vehicle and office supply expenses related to the project
Class 039 – Telecommunications	To cover phone services related to the project
Class 041 – Audit Fund Set Aside	To cover 0.01% of the award for audit-set-aside
Class 070 – In-State Travel Reimbursement	To cover travel needed for meetings
Class 080 – Out-of-State Reimbursement	To cover travel for regional market meetings

Class 102 – Contracts for Program Services

To contract with experts to review permit requirements for solar PV; research ways to streamline or simplify utility interconnection and approval processes for solar; and provide online tools for municipalities that wish to reduce barriers to solar installations

In the event that Other Funds are no longer available, General Funds will not be requested to support these programs.

Respectfully submitted,



Meredith A. Hatfield
Director

MAH/BS
Enclosures

Fiscal 01/10/14
G&C 01/15/14

FISCAL SITUATION
 State Energy Programs
 010-002-6510-0000
 FY 2014

<u>Funding Information</u>	<u>Grant Award</u>	<u>Grant Period</u>	<u>Award Amount</u>	<u>Expended Thru FY13</u>	<u>Funding Authorization Remaining</u>	<u>Date of Notification</u>
SEP PY 14	DE-EE0006204	07/01/13 - 06/30/14	310,200.00	0.00	310,200.00	06/27/13
Competitive SEP -EERS	DE-EE0005463	09/30/11 - 03/31/14	379,330.00	129,103.05	250,226.95	12/07/12
SHOPP 13	DE-EI0000930	09/15/12 - 09/14/13	13,500.00	11,592.86	1,907.14	08/30/12
SHOPP 14	DE-EI0000930	09/15/13 - 09/14/16 ¹⁴	13,500.00	0.00	13,500.00	09/06/13
SB 99 Chapter 134			200,000.00	0.00	200,000.00	06/26/13
SB 191 Chapter 276			200,000.00	0.00	200,000.00	07/24/13
CESA		09/30/13 - 03/30/16	150,000.00	0.00	150,000.00	09/17/13
Total			1,266,530.00	140,695.91	1,125,834.09	
Less: FY14 Budget Authorization					536,140.00	
Less: FY14 Balance Forward					249,355.15	
Less: SEP Grant in A/U 6400					132,739.47	
Less: SEP Grant in A/U 6570					4,609.26	
Less: SEP Grant in A/U 7705					11,111.56	
Less: SHOPP Grant in A/U 6400					3,736.56	

Available for Budgeting

Requested Action

188,142.09

99,501.00



Contract between

**Clean Energy States Alliance, Inc.
and
the New Hampshire Office of Energy and Planning**

WHEREAS, the Clean Energy States Alliance, Inc. ("CESA") is a U.S. nonprofit corporation that works with state clean energy funds and other funders of clean energy projects and has extensive knowledge and experience in state clean energy policies, regulations, and programs; and

WHEREAS, CESA has been awarded a U.S. Department of Energy Award, No. DE-EE0006305, in support of the New England Solar Cost-Reduction Partnership under its FOA Rooftop Solar Challenge II ("Project");

WHEREAS, the New Hampshire Office of Energy and Planning ("CONTRACTOR") is confirmed as a partner on this Project and identified as a sub-recipient under Award No. DE-EE0006305;

WHEREAS, CESA, in partnership with the CONTRACTOR and four other New England States, has developed a Statement of Project Objectives ("SOPO") with U.S. Department of Energy to perform the tasks and complete the deliverables as stated in the Project proposal, which is included as Attachment A to this contract;

NOW THEREFORE, CESA and the CONTRACTOR hereby agree as follows:

1) WORK TO BE PERFORMED

The purpose of this contract is to have the CONTRACTOR prepare and implement program activities in support of the completion of tasks described in the SOPO for the Project that pertain to the State of New Hampshire and its participating municipalities. The CONTRACTOR will also take responsibility for collecting information about policies, regulations, and incentives in the State of New Hampshire that relate to solar photovoltaics ("PV"). In addition, the CONTRACTOR shall provide support and expertise to this Project as more fully described in the SOPO and as modified by CESA, provided that any modifications affecting the CONTRACTOR's services are subject to and conditioned upon the CONTRACTOR's approval.

2) TERM OF CONTRACT

The term of this contract is from September 30, 2013 through March 30, 2016, subject to a go/no-go decision by the U.S. Department of Energy after the first 18 months of award No. DE-EE0006305, and subject to approval by the New Hampshire Governor and Executive Council.

3) CONTRACT BUDGET

This contract contains two distinct budget periods with the first period comprised of 18 months and the second period of an additional 12 months. These two budget periods reflect U.S. Department of Energy's decision making process for funding the Project after the first 18 months. At the conclusion of the first 18 months, U.S. Department of Energy will make the determination whether to fund the Project for an additional 12 month period.

The total amount obligated under this contract by CESA to the CONTRACTOR shall not exceed US \$150,000.00 as follows. The first 18-month obligation for Budget Period 1 shall be \$113,750.00. The following 12-month obligated amount for Budget Period 2, contingent upon U.S. Department of Energy's determination to continue funding the Project, shall be \$36,250.00. The CONTRACTOR will perform work according to the hourly rates shown in the fee schedule in Attachment B (Budget Justification Form). The CONTRACTOR shall not be responsible for conducting additional requested tasks if such services will cause the obligation by CESA to exceed \$150,000.00 unless CESA authorizes an increase. The obligated amount of \$150,000.00 includes the CONTRACTOR's travel expenses to attend Project meetings or conference call expenses to participate in Project meetings and conduct teleconferences needed for this project. The CONTRACTOR shall not be required to travel without advance approval by CESA and confirmation that allowable expenses incurred will be reimbursed. This contract's obligated amount shall be the exclusive payment owed to the CONTRACTOR under this agreement. However, as part of this agreement, the CONTRACTOR shall provide a \$6,840.00 in-kind, cost-share for Budget Period 1 and a \$4,560.00 in-kind, cost-share for Budget Period 2 to fulfill the U.S. Department of Energy award requirements such that the CONTRACTOR shall incur a total cost of \$161,400.00 over the duration of this Project.

Notwithstanding any provision of this Agreement to the contrary, all obligations of the CONTRACTOR hereunder, are contingent upon the availability and continued appropriation of funds.

4) PRINCIPALS

A) The person responsible for managing this contract for the CONTRACTOR is Karen Cramton. His/her contact information is as follows:

Karen Cramton

Deputy Director and Administrator of Energy Programs
New Hampshire Office of Energy and Planning
107 Pleasant Street, Johnson Hall
Concord, NH 03301-3834
Ph: 603-271-8341
karen.cramton@nh.gov

B) The person responsible for managing this contract for CESA is Warren Leon. His contact information is as follows:

Warren Leon
Clean Energy States Alliance
50 State Street, Suite 1
Montpelier, VT 05602
Ph: 978-317-4559
WLeon@cleanegroup.org
cc: Maria@cleanegroup.org and nate@cleanegroup.org

C) If either of the persons identified in 4(A) and 4(B) (“Principals”) or any of the contact information for the Principals in 4(A) or 4(B) changes, the party will notify the other party in writing of the changes.

5) DELIVERABLE AND TIMELINES

While the CONTRACTOR will participate in a wide range of the tasks, it will take special responsibility for the following tasks:

- 1) Develop a plan for how CONTRACTOR will advance solar PV soft-cost reductions in the state of New Hampshire.
- 2) Review existing permitting and zoning guidance from Connecticut and Massachusetts; develop and disseminate a model process for New Hampshire based on the model developed by Connecticut and Massachusetts in Rooftop Solar Challenge I. The NH model process will be distributed to 200 New Hampshire towns along with background information.
- 3) Review the interconnection and approval process for the four main utilities in the State of New Hampshire; meet with the key utilities individually to encourage them to work together to standardize and streamline the application process to reflect proven cost reduction methods from the other New England States.
- 4) Research the feasibility of defining a common interconnection application process and common inspection process and time for all utilities; develop an online information packet accessible from the CONTRACTOR’S website explaining the interconnection process .

- 5) Report on the applicability of a 10-day interconnection registration process for the state of New Hampshire.
- 6) Help foster adoption or prepare a Town Meeting presentation of the model permitting process in at least 6 New Hampshire municipalities.
- 7) Meet with CESA and other participating state representatives to share information and identify best practices for minimizing rooftop PV soft costs.

Additional tasks the CONTRACTOR will be responsible for and the timeline for completion are delineated in Attachment A, the Project SOPO.

The CONTRACTOR is responsible for conducting all of its activities in accordance with the U.S. Department of Energy's Special Terms and Conditions set forth in Attachment C. Agreement to this contract constitutes the CONTRACTOR'S acceptance of the Special Terms and Conditions outlined in Attachment C.

Tasks and Schedule

The CONTRACTOR will participate in all aspects of the Project and will contribute, as requested and within the contract budget, to carrying out the tasks below. The CONTRACTOR will ensure that its work is completed in accordance with the Project timeline included in Attachment A and the Special Terms and Conditions set forth in Attachment C or as modified by mutual agreement.

6) REPORTING

- A. The CONTRACTOR shall submit brief quarterly progress reports as agreed upon by electronic mail to the contracting manager and/or by completing online updates on a project management platform. The progress reports will address the status of the work and any issues that affect the performance of this contract or the work products. Completion of identified tasks will satisfy progress report requirements.
- B. The CONTRACTOR shall also submit quarterly narrative reports (of 1-5 pages in length) to the CESA Contract Manager and his assigns (as a Word Document, submitted by email), due on January 7, April 7, July 7, and October 7 of each year. The reports shall provide a brief description of the work and activities performed in the previous quarter in relation to the relevant Tasks and Subtasks described in the Attachment A, while the Project is ongoing. The quarterly reports shall provide an overview of what was accomplished under these goals and objectives established for this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. A written comparison of the actual project accomplishments with the project goals and objectives established for the reporting period; if goals and/or objectives for the reporting period were not met, a detailed

description of the variance shall be provided.

- A. The CONTRACTOR shall work in good faith with CESA to provide any currently unidentified reports or other information as needed to meet U.S. Department of Energy reporting requirements.

7) CONFIDENTIALITY

All CONTRACTOR communications with CESA and its other contractors in connection with the professional services performed under this contract are regarded as confidential and may not be disclosed to any party unless the CESA Contract Manager listed in paragraph 4(B) agrees in writing to such disclosure, or such materials are required to be disclosed pursuant to New Hampshire's Right-to-Know Law, RSA 91-A. The CONTRACTOR shall notify CESA of any request for information related to this contract. Confidential information does not include ideas, concepts, know-how or techniques related to information that, at the time of disclosure, is in the public domain or information that is independently developed, already possessed without obligation of confidentiality, or rightfully obtained from a third party without an obligation of confidentiality.

8) COPYRIGHT

All reports, presentations, and any other materials created by the CONTRACTOR under this contract shall be provided to CESA unless otherwise required by the Special Terms and Conditions set forth in Attachment C.

9) INVOICING

A) The CONTRACTOR will submit monthly invoices by the 7th of each month reflecting professional services performed, labor costs incurred, cost share contributed, and expenses incurred under this agreement. A budget justification for the CONTRACTOR's participation in the Project is included as Attachment B. Invoices will include the following items:

- i) Name and complete address of the CONTRACTOR;
- ii) Date of invoice;
- iii) Billing period covered by invoice;
- iv) *DOE Award No. DE-EE0006305*;
- v) Description of services/products being billed, including:
 - (a) Total hours and costs by individual and/or labor category billed;

- (b) Total labor costs;
 - (c) Total other direct costs by cost category (travel or conference calls);
 - (d) Total Cost Share amount contributed;
 - (e) Current and cumulative amounts for each line item being billed; and
 - (f) Total amount due on the current invoice.
- vi) A certification signed by an authorized representative of the CONTRACTOR, as follows:

“The undersigned hereby certifies to the best of my knowledge and belief that the invoice and any attachments have been prepared from the books and records of New Hampshire Office of Energy and Planning in accordance with the terms of this contract and are correct; the sum claimed under this invoice is proper and due, and all the costs of contract performance have been paid or will be paid currently by New Hampshire Office of Energy and Planning when due in the ordinary course of business; the work reflected by these costs have been performed, and the quantities and amounts involved are consistent with the requirements of this contract; and all required CESA approvals have been obtained.”

B) The CONTRACTOR’s invoices will be emailed to:

Anthony Vargo, CFO
Clean Energy States Alliance
50 State Street, Suite 1
Montpelier, VT 05602

phone: 802.223.2554 x214
fax: 802.223.4967
email: tony@cleanegroup.org
cc: WLeon@cleanegroup.org

10) TRAVEL

The CONTRACTOR must comply with U.S. government travel regulations when arranging travel.

11) PAYMENTS

- A. CESA will invoice the U.S. Department of Energy monthly and will include the CONTRACTOR’s most recent payment request in that invoice. CESA will make payment to the CONTRACTOR within seven (7) business days upon receipt of payment from the U.S. Department of Energy.
- B. CESA will not be responsible and will not pay any late fees, interest, or any other carrying charges due to slow payments from the U.S. Department of Energy.

C. Payments shall be payable to "State of NH - Office of Energy and Planning" and payments shall be sent and related inquiries shall be to:

Donna McFarland, Business Director
NH Office of Energy and Planning
c/o Donna McFarland
107 Pleasant Street – Johnson Hall
Concord, N.H. 03301-3834
Ph: (603) 271-1098
donna.mcfarland@nh.gov

12) RECORD KEEPING

These funds are subject to audit. The CONTRACTOR agrees that it will maintain complete financial records for all of its costs incurred under this contract for a period of three (3) years after the execution of this contract and will cooperate with CESA in satisfying any audit requests unless otherwise required by the Special Terms and Conditions set forth in Attachment C.

13) TERMINATION

This contract may be terminated by CESA at any time should the U.S. Department of Energy provide notice that it will terminate or suspend DOE Award No. DE-EE0006305. In that event, CESA will be responsible only for payment of the professional services of the CONTRACTOR that have been performed to that time.

14) ASSIGNMENT

This contract shall not be transferred or assigned by the CONTRACTOR without prior consent of CESA.

15) LIABILITY

The CONTRACTOR is an independent contractor and not an employee, partner, agent of, or joint venture with CESA for any purpose. The CONTRACTOR is responsible for all insurance (including liability insurance), taxes and other financial obligations and requirements relative to the service performed under this contract. The CONTRACTOR shall have no claim against CESA hereunder or otherwise for vacation pay, sick leave, retirement benefits, social security, worker's compensation, health or disability benefits, unemployment insurance benefits, or employee benefits of any kind.

16) NOTICES

All notices, requests and other communications under this contract must be in writing or via electronic mail, and shall be deemed to have been given on the date sent, if by electronic mail, or delivered, if delivered by hand or by a generally accepted overnight delivery service, and on the third business day after deposited in the U.S. mail, if mailed by first class, certified or registered mail, return receipt requested, postage and registry fees prepaid, and addressed to the Principals.

17) FULL CONTRACT

This contract, including Attachment A, B, and C, embodies the entire agreement and understanding between the CONTRACTOR and CESA and supersedes all prior contracts and understandings, oral or written, relating to this Project. It is subject to the approval of the NH Governor and Executive Council.

18) AMENDMENT OF THIS CONTRACT


No change, alteration or modification of this contract may be made except in writing signed by the parties.

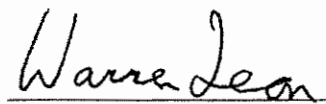
19) SAVINGS CLAUSE

If a court of competent jurisdiction finds any section of this contract to be void and unenforceable, the remaining sections of the contract continue in effect as though the unenforceable section does not exist.

CONTRACTOR
by:


CLEAN ENERGY STATES ALLIANCE
by:

 11/14/13
Meredith Hatfield date
Director
New Hampshire Office of Energy and Planning

 11/11/13
Warren Leon date
Executive Director
Clean Energy States Alliance

The preceding Contract, having been reviewed by this office, is approved as to form, substance, and execution.

11/19/13
Date

OFFICE OF THE ATTORNEY GENERAL
 11/19/13
Name: Eran Mulholland
Title: Assistant Attorney General

ATTACHMENT A

Statement of Project Objectives Attached as Separate Document

STATEMENT OF PROJECT OBJECTIVES
New England Solar Cost-Reduction Partnership

A. PROJECT OBJECTIVES

The New England Solar Cost-Reduction Partnership will reduce solar soft costs in the region by pursuing three broad objectives. Each objective individually has potential to reduce costs and will build on each other. The objectives are:

1. Increase coordination among five states—Connecticut, Massachusetts, New Hampshire, Rhode Island, and Vermont—and with key stakeholders in those states.
2. Refine, combine, and deploy innovative tools and practices from Connecticut and Massachusetts Rooftop Solar Challenge I (RSC I) projects, and from other earlier efforts in those states and Vermont.
3. Implement other best practices more widely across the region, especially with the objective of achieving more consistent policies and practices across state lines.

B. PROJECT SCOPE

The New England Solar Cost-Reduction Partnership seeks to reduce soft costs by implementing identified best practices across five states. The project will build a strong collaboration among the key agencies and staff responsible for deploying rooftop solar photovoltaics (PV) in their respective states: Connecticut's Clean Energy Finance and Investment Authority (CEFIA), the Massachusetts Department of Energy Resources (MA DOER), the New Hampshire Office of Energy and Planning (NH OEP), the Rhode Island Office of Energy Resources (RIOER), and the Vermont Public Service Department (VT PSD). Additional state agencies, major utilities, and other stakeholders will be key partners in the project. Clean Energy States Alliance (CESA) will coordinate the project, serve as project administrator, and lead the team towards achievement of a robust regional New England solar PV market.

The goal of this project is to drive down solar soft costs by building a five-state regional market with 13 million residents and creating more consistent, streamlined processes. We will tackle a wide range of barriers involving all the major RSC II action areas: permitting and interconnection processes, financing options, planning and zoning rules, and net metering and interconnection standards. We will leverage prior successes and lessons learned and utilize the RSC II funds and opportunity as a springboard to a stronger market with reduced costs.

C. TASKS TO BE PERFORMED

BUDGET PERIOD 1

TASK 1: INCREASE COORDINATION AMONG THE FIVE STATES. (Ongoing) The states will work together to exchange information that will form the basis for cooperative action. They will also make sure that they understand the perspectives and needs of the solar industry in the region and of the key utilities. Information sharing among the states and better understanding of the needs of stakeholders will identify efficiencies, potential collaborative activities, and paths for reducing soft costs.

The challenge of collaborating among the various agencies and states involved in this project represents a key risk, but the benefits of engaging multiple states outweigh those risks. The players are all committed to the common goals of reducing solar costs and building a strong regional market for solar and they have the motivation to work together cooperatively. We will maintain effective communication and group decision-making without bogging down the project in unnecessary bureaucracy or excessive meetings.

Thirteen jurisdictions have committed to work with us closely and to implement concrete changes to their practices. Beyond that, we will engage as many municipalities in the region as possible, disseminating information and offering tools to all partnership states and targeting high rates of adoption of tools and best practices.

Subtask 1.1. Hold a one-day, in-person initial meeting with representatives of the five states.

(Early Q1) This meeting will enable the states to share information about solar practices and policies, to agree on specific ways to work together, and to establish protocols for sharing data to ensure that the various states can access each others' information without running afoul of state information disclosure policies and confidentiality rules. The meeting will be followed by monthly conference calls.

Subtask 1.2. Survey the solar policies and solar costs in the five states in order to identify differences and best practices.

(Q1) This information will be used to move towards greater uniformity in policies among the states. We will (a) use a shared online resource to compile information from the states; (b) share information on what data each state collects on PV installations and agree on some common data collection protocols going forward; (c) share information on PV installation costs in the five states in order to understand the variations in costs and to identify ways to bring down costs in the higher-cost locations; (d) identify key differences between the ways in which the states compile information; and (e) identify best practices among the states.

Subtask 1.3. Meet as a group with the solar industry from all five states. (Q1) At this meeting we will gather ideas for bringing down soft costs, with an emphasis on understanding inefficiencies caused by having different rules and practices in different jurisdictions. We anticipate that state and regional trade associations will attend, as will representatives of about 25 different solar installation firms. We will include bankers, companies that offer solar PPAs, and other individuals who are involved in solar financing. Using a list-serve and quarterly conference calls, we will maintain contact with the solar industry representatives over the course of the project in order to get their feedback on initiatives the states may pursue.

Subtask 1.4. Coordinate with utilities from across the region. (Q1-Q2) The major utilities in the region, most of which span multiple states, have committed to work with us to drive down solar soft costs. The five states will build on current collaborative efforts with these utilities, and will work with the utilities during the project period to discuss best practices and primary ideas for increasing regional standardization. The project team will work with each of these utilities to identify specific improvements and steps that the utility can and will take during the course of the project. The utilities will also be asked to comment on the approaches that the states are considering to reduce solar costs.

Subtask 1.5. Identify practices and policies with significant potential to bring down solar costs that can be implemented widely across the region. (Priority practices identified, Q1; educational outreach, Q2-3) We will consider practices being used in New England and elsewhere. We will determine which practices and policies should receive priority; for each, we will develop and carry out an educational outreach strategy to ensure that all the states understand the recommendations. State agency staff and other experts who have been involved with each practice will be available to provide guidance and assistance to the project participants.

Subtask 1.6. Hold monthly conference calls of the five states for project coordination. (Ongoing)

Milestone (Task 1): states agree on shared data collection protocols and best practices. (Completed Q1) Based on their internal analysis (Subtask 1.2), but also the input from stakeholders (Subtasks 1.3 and 1.4), the states will agree on procedures to jointly follow and on practices they wish to implement more widely.

Milestone (Task 1): solar installer participation in the project. (Q1-6) Solar installers representing more than an estimated 60% of the installations in the five states will participate in project meetings and conference calls.

Milestone (Task 1): report on PV costs and best practices in the five states. (Completed Q3) A written report will summarize the conclusions and outcomes from the analysis conducted and input gathered under Task 1. The report will indicate what stakeholders can do to help the state agencies more widely implement the identified best practices. We will disseminate the report to staff of energy-related state agencies in the five states, utilities, solar installers, jurisdictions participating in this project, nonprofit organizations in the region that work to advance solar energy, and other stakeholders. CESA will hold a webinar to discuss the findings in the report.

Milestone: (Task 1) utility commitments. (Completed Q2) Each participating utility will have a plan of specific steps it will take to reduce solar soft costs during the remainder of BP 1 and 2.

TASK 2: FURTHER DEVELOP INNOVATIONS AND PRACTICES IN CONNECTICUT, MASSACHUSETTS, AND VERMONT THAT CAN HAVE BROAD APPLICABILITY IN DRIVING DOWN COSTS. Connecticut and Massachusetts have developed highly promising practices and tools through their RSC I projects, as well as through other separately funded activities. Vermont is pursuing other important innovations, such as electronic net metering and updated interconnection rules. This project will expand the implementation of seven initiatives in their originating states. We will roll out these approaches in the other states in the region, as appropriate.

Subtask 2.1. Have model permitting processes adopted more widely. (Collaboration of the two states, Q1-Q2; efforts to encourage adoption of model processes, months Q3-Q6) Early in the project period, DOER and CEFIA will collaborate to share best practices from each state's development of model permitting processes under RSC I, and will explore possibilities for amending each state's model to achieve greater regional standardization of permitting. DOER and CEFIA will then conduct outreach and provide support to encourage the widespread municipal adoption of these permit processes in their own states. The dissemination will include webinars, posting of educational materials on websites, outreach by DOER regional coordinators, other DOER staff, and CEFIA staff.

Milestone: In discussions between CT and MA, determine the best model permitting documents and process to recommend across states. (Completed Q2)

Milestone: Model solar permitting process disseminated to all 351 MA municipalities and all 169 CT municipalities. (Completed Q3)

Deliverables: Model permit process and process improvement elements adopted by 20 MA and 20 CT municipalities. (Completed Q6)

Subtask 2.2. Implement online permitting system. (Q1-6) CEFIA funded Simply Civic to develop an online permitting system that can simplify and handle not only solar permitting but a municipality's entire permitting needs. CEFIA and Simply Civic will pilot the system in CT municipalities, modify it as needed, and then roll it out more widely. The system will be available free to all CT towns through the end of the contract for this project with DOE. Other states will explore using the system.

Milestone: Simply Civic demos given to 50 CT and 10 MA municipalities. (Completed Q6)

Deliverable: Online permitting adopted by 8 CT municipalities. (Completed Q6)

Subtask 2.3. Introduce model solar zoning and have it adopted. (Q1-6) DOER developed a model solar zoning bylaw, addressing both rooftop and ground-mounted systems of all sizes. MA DOER will introduce this bylaw across MA and work to get all or part of it adopted in multiple municipalities.

Milestone: Model solar zoning documents disseminated to all 351 MA municipalities.

(Completed Q2) **Deliverable:** Model solar zoning adopted by 5 MA municipalities with 5 more MA municipalities targeted for potential adoption. (Completed Q6)

Subtask 2.4. Implement the Solarize community outreach model more widely. (Q 1-6) Both CEFA and MassCEC have worked with communities to deploy coordinated education, marketing, and outreach, combined with group purchasing, to increase market penetration and reduce costs. They will apply it in an additional 21 municipalities. This will represent an increased rate of Solarize implementation, since the most recent Solarize round in the two states comprised 15 municipalities.

Milestone: 21 communities selected for Solarize. (Completed Q2)

Milestone: Group purchase period ends in the 21 communities, with contracts signed by system purchasers. (Completed Q4)

Deliverable: Implement Solarize in at least 10 MA and 11 CT communities, achieving a projected 20% reduction in installed costs. (Completed Q5)

Subtask 2.5. Implement improved solar financing options. (Q1-6) CEFA has made excellent progress in developing innovative financing programs, including the CT Solar Loan, the CT Solar Lease II, and a Commercial PACE program, and it will continue to refine these programs and disseminate them across the state. Additional loan and lease products will further reduce the reliance on ratepayer subsidies. CEFA will work closely with commercial banks to develop viable financial products as the state moves away from rebates and subsidies.

Deliverable: At least 75% of active local solar PV installers in Connecticut trained to utilize innovative financing programs/products. Ratepayer contribution to installed cost reduced to 20% while shifting toward financing. (Completed Q5)

Subtask 2.6. Allow for electronic net metering registration. (Q1-6) VT PSD seeks to further simplify the net metering process and reduce the associated soft costs. The agency will work to change the net metering registration to allow for electronic submission. In addition, for those projects that currently require inspections (e.g., commercial and public buildings and projects within the City of Burlington), the Department will work with the City to shorten inspection times, lower costs, and create uniformity of inspection criteria.

Deliverables: Electronic submission of net metering registration implemented throughout Vermont. The complexity of the inspection process in Burlington simplified so that most systems require only one comprehensive inspection (Completed Q6).

Subtask 2.7. Update interconnection rules. (Q1-6) During a planned upcoming revision of the Vermont's net metering rules at the Public Service Board, the Board and the Department will work together to update and improve the interconnection rules and the interconnection approval process. As part of this process, VT will review best practices in other New England states that have extensive experience in this area.

Deliverables: VT's revised interconnection rules will be approved and will eliminate the external disconnect and insurance requirements and will no longer exceed FERC standards (Completed Q6).

Subtask 2.8. Identify applicability of the seven practices above to the other states in the five-state region. (Review and determine applicability, Q1-2; for applicable measures, carry out outreach and training for other states, Q2-3) The originating state will share information about the innovation with the other states. To the extent that the other states seek to implement similar measures, the originating state will provide advice and information.

Milestone: Each state will identify at least two of the seven practices that it intends to work on. (Completed Q2).

Deliverable: After receiving training, each state will develop a plan for how it will advance the two practices that it intends to focus on. (Completed Q3).

Deliverable: Each state will have work underway to carry out those plans. (Completed Q6).

TASK 3: IMPLEMENT BEST PRACTICES MORE WIDELY ACROSS THE REGION. We will implement other practices in addition to the seven above. While a key way to reduce solar costs is by achieving greater uniformity across states, we realize that political considerations, local preferences, and varied government structures can make that difficult in some cases. We will concentrate on practices for which rapid progress is possible and will consider flexible solutions that remove market barriers when strict uniformity is infeasible. Until the inventory described above in Subtask 1.5 is completed, the relative priority of the various practices is unknown, but we have identified eight areas in which the states will devote attention and expect to make measurable progress.

Subtask 3.1. Provide municipalities with permitting and zoning guidance. (Q1-6) CEFIA and MA DOER will collaborate to determine ways in which each state's model process might be amended to achieve greater regional standardization. Resources from those two states will then be adapted to other states. For example, a CEFIA Permitting Guide that is being made available to all CT municipalities includes a standardized solar PV permit application, guidance on online permitting, recommendations on achieving a model permit process, an inspection checklist, and a model solar PV ordinance, and benefits analysis showing why streamlined permitting will benefit a local jurisdiction. This guidebook, as well as MA DOER's model permitting process, will inform permitting guidance in other locations. NH OEP and RI OER will review existing town policies in those states; with the CEFIA and DOER materials for guidance, they will each develop a model process and will disseminate it, along with educational resources, to towns across the state. RI will also develop a model as-of-right solar zoning ordinance.

Milestone: Model process distributed to all 200 NH and 39 RI municipalities. (Completed Q5)

Deliverable: At least 10 municipalities will have taken steps towards implementing process improvements. (Completed Q6)

Subtask 3.2. Disseminate structural review guidance for municipal building inspectors. (Q1-6) MA DOER has developed structural review guidance that building inspectors and project developers can use for rooftop systems up to 10kW on single and two-family homes. The guidance includes a prescriptive process for streamlined review of systems that meet certain requirements (in terms of the structural integrity of the roof and the components of the system). CT has developed a strategy to eliminate unnecessary reviews by professional engineers. MA and CT will review each others' strategies, and combine the approaches or expand either or both as appropriate. All the partner states are interested in utilizing the structural guidance materials from RSC I and modifying it, if necessary, to make it applicable to conditions in their state.

Milestones: Structural review guidance for single and two-family homes distributed to municipal building inspectors in all states. (Three states by end of Q4; the remaining two states by end of Q5).

Deliverable: Structural review guidance being used in municipalities representing more than 1 million people. (Completed Q6)

Subtask 3.3. Work with utilities. (Ongoing) (1) NH OEP will review the interconnection application and approval process for the four main utilities in the state. NH OEP will then meet individually with the key utilities to encourage them to work together to standardize and streamline the application and process to reflect proven cost-reduction methods from the other New England states. (2) NH OEP will research the feasibility of defining a common application process and common inspection process and time for all utilities. The agency will also develop an online information packet accessible from the OEP websites, and potentially also from utility websites, explaining the interconnection process for municipalities, schools, businesses, and residents. (3) MA DOER will continue to work with Massachusetts utilities to implement recommendations of the state's

Distributed Generation Working Group. (4) CT will provide utilities with updated interconnection improvement recommendations from research in RSC I and ask the utilities to identify improvements to be targeted during RSC II and estimate cost reductions associated with these targets.

Milestone: Online information packet on the interconnection process made available in NH. (Completed Q6)

Deliverable: Based on each utility's solar cost reduction plan (Task 1), CESA will project the solar cost reductions that will result by state (Completed Q4).

Subtask 3.4. Implement financing options. (Q2-6) In addition to CEFIA's efforts to extend its existing work on innovative financing (Task 2.5), all the states will learn which financing options could be available to them and will determine whether it is appropriate to implement them. CESA will analyze the various options for the states, explain the advantages and disadvantage of each, and work with each state to identify specific financing options that could make sense for its situation. States other than Connecticut will take the following actions: (1) In coordination with revisions to the MA SREC program, MA DOER will explore forward minting of SRECs for the residential market. (2) RI OER will implement a residential Property Assessed Clean Energy (PACE) program that enables individual cities and towns to set up a program involving repayment of loans through third-party lenders. (3) VT PSD will create credit enhancements—both for the developers and for the off-takers of the power—to encourage financial institutions to provide debt for community solar projects.

Milestone: DOER will make a determination on the inclusion of forward minting in its SREC II program (Completed Q1)

Deliverable: If DOER determines to include forward minting of SRECs, it will implement this into the SREC II program. (Completed Q3)

Deliverable: VT's credit enhancement program will significantly increase available financing for community solar. (Completed Q6)

Deliverable: The RI residential PACE program will be implemented and operational in some of the state's municipalities. (Completed Q6)

Subtask 3.5. Determine applicability of 10-day interconnection registration process. (Q3) The State of Vermont requires solar projects to file a one-page interconnection application. Projects automatically receive certification in 10 days unless issues are raised. We will explore whether a variant of this approach can be applied in other states.

Deliverable: Each state will report on the applicability of the VT process and identify ways, if any, in which it can be relevant to improving interconnection in its state. (Completed Q2)

Subtask 3.6. Solar maps. CT will work with a vendor or business to design a tool by which residential customers can assess the benefits of installing solar PV on their properties.

Deliverable: CEFIA's selected vendor will perform analysis of the CT solar PV market and report to CEFIA on how its software will be configured for use by CT homeowners. (Completed Q5)

Milestone (Task 3): For three of the practices above that we determine to be priorities for regional implementation, we will produce written materials and online resources that will be useful in multiple states. We will distribute the materials through the CESA website and through the participating state agencies to government officials, utilities, solar installers, and other stakeholders. (Completed Q5)

GO/NO GO DECISION CRITERIA

DOE will make a determination to proceed with funding for the next Budget Performance period (BP2) based predominately upon the successful completion of 85% of the subtasks and deliverables for BP1 described in the approved SOPO. Other budgetary and programmatic constraints may apply.

The following criteria will be used to determine whether or not this project should proceed from BP 1 to BP 2:

- Five states are working together collaboratively and have taken meaningful steps to share policy and cost information, and to reduce the variations in practices among the states. The states have committed to concrete actions to reduce those variations during BP2 and have begun taking steps to do so during BP1.
- Each state has begun work on two priority practices and policies listed above in Tasks 2 and 3.
- Model permit process and process improvement elements have been adopted in 40 communities representing more than one million people, and leaders in 20 more municipalities intend to bring a model solar permit process and process improvement elements to a vote in BP 2.
- Online permitting is being used in at least 6 CT municipalities.
- Solarize initiatives in CT and MA communities continue to yield 20% cost savings for system hosts.
- Electronic submission of net metering registration implemented throughout Vermont, with evidence that this yields efficiencies.
- Structural review guidance is implemented by municipal building inspectors and is used in municipalities representing more than 1 million people.

BUDGET PERIOD 2

BP2 will consist of work on the same three general objectives as the first BP1. However, in BP2 we will not start or develop new initiatives, but will instead focus on implementing solar cost-reduction measures more widely in more jurisdictions. We will also identify lessons learned from the project to make sure that policymakers, the solar industry, and other stakeholders have a clear roadmap for how they can continue to reduce soft costs after the conclusion of the project.

TASK 4. CONTINUE COORDINATION AMONG THE FIVE STATES.

Subtask 4.1. Hold monthly conference calls of the five states for project coordination. (Ongoing)

Subtask 4.2. Identify lessons learned and recommendations for future actions. The states will meet to compare their experiences in disseminating cost-reduction measures and will identify those measures that have been most successful and make mid-course corrections to their implementation strategies. They will produce a working document with draft conclusions and recommendations that they will continue to modify over the rest of BP2. Towards the end of BP2, they will identify actions that should be taken after the conclusion of the project.

Milestone: States meet with CESA to identify successful measures and make mid-course corrections. (Completed Q7)

Milestone: Draft lessons learned document produced. (Completed Q7)

Milestone: A report describing the project's lessons learned, including which measures proved to have the greatest impact on reducing soft costs, changes that can most easily and productively be implemented more widely, barriers to further standardization of practices among the five states, and recommended actions that the states and various stakeholders should take after the conclusion of the project. The report will also be distributed to senior state policymakers, including legislative leaders, governors, and others. A webinar will discuss the report with a New England

audience. A second webinar for a national audience will draw attention to lesson learned that could be relevant to other parts of the country. (Completed Q10)

TASK 5. ACCELERATE ADOPTION OF THOSE INNOVATIONS AND PRACTICES THAT CONNECTICUT, MASSACHUSETTS, AND VERMONT WORKED ON AS PART OF TASK 2 ABOVE DURING BP1. These projects comprise (1) model permitting process, (2) online permitting system, (3) model solar zoning, (4) Solarize, (5) solar financing options, (6) electronic net metering registration, and (7) updated interconnection rules. We will also implement some of these measures in additional states.

Deliverable: Model permit process and process improvement elements adopted by an additional 20 MA and 20 CT municipalities. (Completed Q10)

Milestone: Simply Civic demos given to 25 more CT municipalities and at least 50 municipalities in other states. (Completed Q10).

Deliverable: Online permitting adopted by 4 more CT municipalities and at least 8 municipalities in other states.

Deliverable: Model solar zoning bylaw adopted by another 10 MA and 2 CT municipalities, plus 3 RI municipalities. (Completed Q10)

Deliverables: Pending continued program success and approval by the Boards of CEFIA and MA CEC, additional rounds of Solarize CT and Solarize MA will be implemented in 2015. (Completed Q10)

Deliverable: Solarize projects will be implemented in at least one of the states from among NH, RI, and VT. (Completed Q10)

Deliverable: An adapted Solarize program or other customer aggregation model will be developed and implemented in CT and at least one other state to target affinity groups such as large companies and also to reduce or eliminate formal program resources needed to enable group purchases. (Completed Q10)

TASK 6. IMPLEMENT BEST PRACTICES MORE WIDELY ACROSS THE REGION. We will continue to give attention to the areas described above in Task 3 of BP1, but we will give the bulk of our attention in BP2 to those areas that determined to be the priorities for regional action. The milestones and deliverables below will be minimum milestones we would expect to achieve. We plan to achieve more than these minimums in those areas that we determine to be the priorities for action.

Deliverable: Model permitting process either adopted by the municipality or prepared for presentation at Town Meeting in at least 6 municipalities in NH and 6 in RI. (Completed Q10)

Milestones: Structural review guidance for residential buildings distributed to municipal building inspectors in at least one additional state. By the end of BP 2, structural review guidance will be being used in municipalities representing more than 3 million people spanning at least three states. (Completed Q10)

Milestone: VT produces and distributes model contracts for group net metering contracts. (Completed Q10)

Deliverable: Solid evidence that the project's various activities have reduced solar soft costs by an average of 15% in municipalities representing at least 2.5 million people.

FINAL PROJECT RESULTS

We expect that the various activities, milestones, and deliverables listed above will lead to meaningful solar soft-cost reductions:

- We project that this project will lead to soft-cost reductions averaging 15% in municipalities representing at least 2.5 million people, including the 13 participating jurisdictions. There will

also be smaller soft-cost reductions in other municipalities. Some project activities will impact all the communities in a particular state.

- In the minimum of 20 Solarize communities in which we will work, almost all of which will be in addition to the 13 participating jurisdictions, total installed costs (not just soft costs) for PV projects will be reduced by 20%.
- There will be a doubling of residential solar PV capacity additions from the prior year in at least two states in the region.

We will produce a report documenting the soft-cost reductions produced by this project, not just in participating jurisdictions but in other municipalities in the five states. The report will also compile all the policy and practice changes caused by this project. We will distribute the report to staff of energy-related state agencies in the five states, utilities, solar installers, the municipalities that took action over the course of the project, nonprofit organizations in the region that work to advance solar energy, and other stakeholders. In addition, CESA will disseminate relevant sections of the report and its findings to other states outside New England that could benefit from the information. That will be done through CESA meetings, webinars, and the CESA website.

ATTACHMENT B

NH OEP Budget Justification Attached as Separate Document

Instructions and Summary

Award Number: DE-FOA-0000788
Award Recipient: Clean Energy States Alliance

Date of Submission: 3/22/2013
Form submitted by: NH OEP
(May be award recipient or sub-recipient)

**Please read the instructions on each page (worksheet) 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 for each Category line item within each worksheet (budget items under different tabs).

- The dollar amounts on this page must match the amounts on the associated application.
- The award recipient and each sub-recipient with estimated costs of \$100,000 or more must complete this form and ensure it matches the application.
- The total budget presented on this form and on the application must include both Federal (DOE), and Non-Federal (cost share) portions, thereby reflecting TOTAL PROJECT COSTS proposed.
- For costs in each Object Class Category, complete the corresponding worksheet on this form (tab at the bottom of the page). Include a brief narrative explanation of the costs in the "Additional Explanations/Comments" section to justify the costs.
- 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.

BURDEN DISCLOSURE STATEMENT

Public reporting burden for this collection of information is estimated to average 3 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. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, AD-241-2 - GTN, Paperwork Reduction Project (1910-5162), U.S. Department of Energy 1000 Independence

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	\$29,662	\$19,799	\$0	\$49,461	30.6%	
b. Fringe Benefits	\$12,666	\$8,458	\$0	\$21,125	13.1%	
c. Travel	\$558	\$355	\$0	\$913	0.6%	
d. Equipment	\$0	\$0	\$0	\$0	0.0%	

a. Personnel

PLEASE READ!!!

List costs solely for employees of the entity completing this form (award prime recipient or sub-recipient with costs over \$100,000). All other personnel costs (for prime's subrecipients or other contractual efforts of the entity preparing this budget) 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 base pay rate (or composite base pay rate for group category), 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.

Include a brief narrative explanation of the costs in the "Additional Explanations/Comments" section to justify the costs.

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. Increase coordination among five states										\$0	0	\$0	
	SEP Associate	200	\$26.03	\$5,206			\$0			\$0	200	\$5,206	Actual Salary
	Grants Manager	0	\$24.11	\$0			\$0			\$0	0	\$0	Actual Salary
	Energy Analyst	75	\$24.73	\$1,855			\$0			\$0	75	\$1,855	Actual Salary
	Assistant Planner	20	\$30.16	\$603			\$0			\$0	20	\$603	Actual Salary
	Energy Programs Administrator	77	\$31.23	\$2,405			\$0			\$0	77	\$2,405	Actual Salary
2. Develop innovations and practices in CT,													
	SEP Associate	44	\$26.03	\$1,145			\$0			\$0	44	\$1,145	Actual Salary
	Grants Manager	0	\$24.11	\$0			\$0			\$0	0	\$0	Actual Salary
	Energy Analyst	17	\$24.73	\$420			\$0			\$0	17	\$420	Actual Salary
	Assistant Planner	9	\$30.16	\$271			\$0			\$0	9	\$271	Actual Salary
	Energy Programs Administrator	12	\$31.23	\$375			\$0			\$0	12	\$375	Actual Salary

b. Fringe Benefits

Please Read!!!

Fill out the table below by labor type (add additional rows if necessary). If all employees receive the same fringe benefits, you can show "Total Personnel" in the Labor Type column instead of listing out all personnel separately. If necessary, you can use the box below to provide additional explanation regarding your fringe rate calculation.

The rates and how they are applied should not be averaged to get one fringe cost percentage.

The fringe benefit rate should be applied to both the Federal Share and Recipient Cost Share.

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

Labor Type	Budget Period 1			Budget Period 2			Budget Period 3			Total Project Fringe Benefit Costs
	Personnel Costs	Rate	Total	Personnel Costs	Rate	Total	Personnel Costs	Rate	Total	
EXAMPLE ONLY:										
Sr. Engineer	\$170,000	20%	\$34,000	\$10,000	20%	\$2,000	\$10,000	20%	\$2,000	\$38,000
SEP Associate	15,228	37.60%	\$5,726	10,152	37.60%	\$3,817			\$0	\$9,543
Grants Manager	0	46.00%	\$0	0	46.00%	\$0			\$0	\$0
Energy Analyst	7,221	35.00%	\$2,527	4,822	35.00%	\$1,688			\$0	\$4,215
Assistant Planner	2,654	51.70%	\$1,372	1,764	51.70%	\$912			\$0	\$2,284
Energy Programs Administrator	4,560	66.70%	\$3,041	3,061	66.70%	\$2,041			\$0	\$5,083
Total:	\$29,662		\$12,666	\$19,799		\$8,458	\$0		\$0	\$27,125

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. Calculate the fringe rate and the Total should calculate automatically (if adding rows, ensure the formulas are updated).

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.

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 the rate proposal must support the rates being proposed for use in performance of the proposed project. Go to <https://www.eere-prnc.energy.gov/forms.aspx> and select Sample Rate Proposal.

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 justify 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					

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		
Budget Period 3 Total			\$0		
PROJECT TOTAL			\$0		

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 budget form and justification 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, the 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	Purpose/Tasks in SOPO	Budget	Budget	Budget	Project Total
---------------	-----------------------	--------	--------	--------	---------------

Sub-Recipient Name/Organization	Purpose/Tasks in SOF	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
					\$0
					\$0
	Sub-total	\$59,498	\$0	\$0	\$59,498

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
					\$0
					\$0
					\$0
					\$0
					\$0
					\$0
					\$0
	Sub-total	\$0	\$0	\$0	\$0

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

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			
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000	Engineering estimate	Site must be prepared for construction of platform.

General Description	Cost	Basis of Cost	Justification of need
Budget Period 3			
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. These direct costs must not be included in the indirect costs (for which the indirect rate is being applied for this project). Examples are: equipment costs less than \$5000, meetings within the scope of work, printing costs, etc. which can be directly charged to the project and are not duplicated in indirect costs (overhead costs).

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
Employee Assistance Program	\$7	Required by State	Required by State
Audit Set Aside	\$110	0.1% of Grant	Required by State
Transfers to OIT	\$1,260	IT Cost	Required by State
Rent	\$738	Rent portion for OEP staff	Operating Expense
Current Expenses	\$0	historical data	Postage, printing, and duplicating of materials for distribution at
Additional Fringe Benefits	\$3,224	Required by State	Required by State
Budget Period 1 Total	\$5,339		
Budget Period 2			
Employee Assistance Program	\$5	Required by State	Required by State
Audit Set Aside	\$42	0.1% of Grant	Required by State
Transfers to OIT	\$840	IT Cost	Required by State
Rent	\$492	Rent portion for OEP staff	Operating Expense
Current Expenses	\$0	historical data	Postage, printing and duplicating of materials for distribution at
Additional Fringe Benefits	\$2,149	Required by State	Required by State
Budget Period 2 Total	\$3,528		
Budget Period 3			

i. Indirect Costs

Please Read!!!

Fill out the table below to indicate how your indirect costs are calculated. If necessary, you can use the box below to provide additional explanation regarding your indirect rate calculation.

The rates and how they are applied should not be averaged to get one indirect cost percentage.

The indirect rate should be applied to both the Federal Share and Recipient Cost Share.

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

	Budget Period 1	Budget Period 2	Budget Period 3	Total	Explanation of BASE
Provide ONLY Applicable Rates:					
Overhead Rate	31.4%	31.4%	0.0%		
General & Administrative (G&A)	0.0%	0.0%	0.0%		
FCCM Rate, if applicable	0.0%	0.0%	0.0%		
OTHER Indirect Rate	0.0%	0.0%	0.0%		
Indirect Costs (As Applicable):					
Overhead Costs	\$12,664	\$8,471	\$0	\$21,135	
G&A Costs	\$0	\$0	\$0	\$0	
FCCM Costs, if applicable	\$0	\$0	\$0	\$0	
OTHER Indirect Costs	\$0	\$0	\$0	\$0	
Total indirect costs requested:	\$12,664	\$8,471	\$0	\$21,135	

A federally approved indirect rate agreement, or rate proposed (supported and agreed upon by DOE for estimating purposes) is required if reimbursement of indirect costs 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 the totals should calculate automatically.

An indirect rate has been approved or negotiated with 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.

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

*When this option is checked, the entity preparing this form shall submit an indirect 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 Sample Rate Proposal.

ATTACHMENT C

Special Terms and Conditions Attached as Separate Document

Attachments 1 through 4 referenced in "Attachment C" encompass the entire scope and definition of Rooftop Solar Challenge II grant and agreement between CESA and DOE.

Attachment 1 refers to this contract's Attachment A.

Attachment 3 refers to this contract's Attachment B.

SPECIAL TERMS AND CONDITIONS

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SUBPART A. GENERAL PROVISIONS**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 EERE Award Administrator for guidance.

2. AWARD AGREEMENT TERMS AND CONDITIONS

This Award consists of the following documents, including all terms and conditions therein:

Cover Page	Assistance Agreement Form
Body	Special Terms and Conditions
Attachment 1	Statement of Project Objectives
Attachment 2	Reporting Checklist and Instructions
Attachment 3	Budget Information (SF-424A and Budget Justification)
Attachment 4	Intellectual Property Provisions

The following are incorporated by reference:

- a. Applicable program regulations.
- b. DOE Assistance Regulations, 10 CFR Part 600 at <http://ecfr.gpoaccess.gov>.
- c. If the award is for research and the award is for a university or non-profit, the Research Terms & Conditions and the DOE Agency Specific Requirements at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp> apply.
- d. Application/proposal as approved by DOE.
- e. National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

3. COMPLIANCE WITH FEDERAL, STATE, AND MUNICIPAL LAW

The Recipient is required to comply with applicable Federal, state, and local laws and regulations for all work performed under this Award. The Recipient is required to obtain all necessary Federal, state, and local permits, authorizations, and approvals for all work performed under this Award.

4. 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.

5. STATEMENT OF FEDERAL STEWARDSHIP

EERE 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.

6. STATEMENT OF SUBSTANTIAL INVOLVEMENT

The Rooftop Solar Challenge II is a critical element of the SunShot Initiative and is intended to make significant contributions in support of achieving DOE's goals and objectives. To that end, DOE will be substantially involved in monitoring the work performed under this award and ensuring that all activities performed by the Awardee and its Subcontractors advance the achievement of programmatic goals and objectives. In that regard, DOE will coordinate with the Awardee to identify and negotiate direction or redirection of work performed under this award. DOE will foster collaboration and coordination among Rooftop Solar Challenge II award recipients, other SunShot awardees, DOE-funded National Laboratories (e.g., National Renewable Energy Laboratory), and other relevant organizations as needed. DOE has the right to intervene in the conduct or performance of project activities for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities. Refer to 10 CFR 600.5 (d) for additional language and citations.

7. SITE VISITS

EERE'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. Recipient must provide, and must require its subrecipients 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.

8. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

DOE must comply with the National Environmental Policy Act (NEPA) prior to authorizing the use of federal funds. Based on all information provided by the Recipient, EERE has made a NEPA determination by issuing a categorical exclusion (CX) for all activities listed in the Statement of Project Objectives (SOPO) approved by the Contracting Officer. The Recipient is thereby authorized to the use federal funds for the defined project activities. This NEPA determination is specific to the project activities as described in the SOPO approved by the Contracting Officer.

If the Recipient later intends to add to or modify the activities in the approved SOPO, those new activities or modified activities are subject to additional NEPA review and are not authorized for federal funding until the Contracting Officer provides approval on those additions or modifications. Recipients 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 authorization from the Contracting Officer. Should the Recipient elect to undertake activities prior to authorization from the Contracting Officer, the Recipient does so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

9. PERFORMANCE OF WORK IN UNITED STATES

- a. Requirement. All work performed under this award must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment, however, the Recipient should make every effort to purchase supplies and equipment within the United States. The Recipient must flow this requirement to its subrecipients.
- b. Failure to Comply. If the Recipient fails to comply with the Performance of Work in the United States requirement, the EERE Contracting Officer may deny reimbursement for the work conducted outside the United States. The Recipient is responsible should any work under this award be performed outside the United States, absent a waiver, regardless if the work is performed by the Recipient, subrecipients, vendors or other project partners.
- c. Waiver. There may be limited circumstances where it is in the interest of the project to perform a portion of the work outside the United States. To seek a waiver of the Performance of Work in the United States requirement, the Recipient must submit an explicit waiver request to the EERE Contracting Officer, which includes the following information:
 - The countries in which the work will be performed;
 - A description of the work to be performed outside the U.S.; and
 - The rationale for performing the work outside the U.S.

For the rationale, the Recipient must demonstrate to the satisfaction of the EERE Contracting Officer that a waiver would further the purposes of this FOA and is otherwise in the interests of EERE and the United States. The Contracting Officer may require additional information before considering a waiver request.

10. FINANCING RESTRICTIONS

Financing activities associated with this award are for the purposes of increasing distributed photovoltaic market activity in models other than self-financed ownership by enabling direct financing options, community solar programs, and/or utility-owned distributed generation and resolving legal issues around third party ownership models. Recipient is restricted from

using award funds or recipient cost share to provide funding, loans, or direct support to finance solar technology installations.

For this award, DOE has made a final determination for all financing activities under this award that are listed in the Statement of Project Objectives (SOPO) formally approved by DOE through incorporation into and attached to the award. You may proceed with the financing activities as described in the SOPO. If you later add to or modify the financing activities in the above-referenced SOPO, you must submit the revised SOPO to the EERE Project Officer. Those additions or modifications are subject to review and approval by the EERE's Contracting Officer. Should you move forward with activities that are not authorized for Federal funding by the EERE Contracting Officer in advance of the final approval, you are doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share.

11. LOBBYING PROHIBITIONS

By accepting funds under this agreement, the recipient agrees that it will comply with the National Policy Assurances and the applicable lobbying prohibition provisions of the following national policies located at:

[http://energy.gov/sites/prod/files/National_Policy_Assurances-September %202011.pdf](http://energy.gov/sites/prod/files/National_Policy_Assurances-September_%202011.pdf), as well as applicable cost principals contained in 2 CFR 230.5-50, 48 CFR 31.205-22 and 2 CFR 225.5-55. Additionally, the lobbying prohibitions contained in 10 CFR 601 also apply.

Pursuant to the above authorities, no award funds, whether Federal or recipient cost share, may be expended by the recipient for any of the following activities:

Any attempt to influence a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation through direct contact or communication, or by using publicity or propaganda urging members of the general public, or any segment thereof, to contribute to, or participate in any, campaign, rally, or similar effort.

Any attempt to influence an officer or employee of any agency, a member or employee of Congress, in connection with the awarding of any Federal contract grant, cooperative agreement or loan; or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

The above prohibitions do not prohibit the recipient from expending any federal funds on the following:

Technical and factual presentations on topics directly related to the performance of a grant, contract, or other agreement in response to a documented request made by the recipient member, legislative body or subdivision, or a cognizant staff member thereof, provided such information is readily obtainable and can be readily put in deliverable form, and further

provided that costs under this section for travel, lodging or meals are unallowable unless incurred to offer testimony at a regularly scheduled Congressional hearing pursuant to a written request for such presentation made by the Chairman or Ranking Minority Member of the Committee or Subcommittee conducting such hearings;

Outreach activities directed at stakeholders including, local developers, permitting bodies, local utilities, trade groups and other stakeholders to gather information and establish best practices.

12. PUBLICATIONS

EERE encourages the Recipient to publish or otherwise make publicly available the results of work performed under this Award. The Recipient is required to include the following acknowledgement and disclaimer in publications arising out of or relating to work performed under this Award:

Acknowledgment: "The information, data, or work presented herein was funded in part by the U.S. Department of Energy, Energy Efficiency and Renewable Energy Program, under Award Number DE- _____."

Disclaimer: "The information, data, or work presented herein was funded in part 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."

13. RECORD RETENTION

Consistent with 10 C.F.R. Part 600, the Recipient is required to retain records relating to this Award for three years after the end of the project period, unless one of the following exceptions applies:

- a. If any litigation, claim, or audit is started before the expiration of the three-year period, the Recipient is required to retain the records until all litigation, claims, or audit findings involving the records have been resolved and final action taken.
- b. The Recipient is required to retain records for any real property or equipment acquired with Federal funds for three years after final disposition of the real property or equipment.

Copies of records may be substituted for originals.

14. AUDITS

a. Government Audits

Consistent with 10 C.F.R. Part 600, the Recipient's financial records or administrative records relating to this Award may be audited at any time.

EERE may conduct a final audit at the end of the project period (or the termination or cancelation of the Award, if applicable). Upon completion of the audit, the Recipient is required to refund to EERE any payments for costs that were determined to be unallowable.

b. Annual Compliance Audits

The Recipient is required to comply with the annual compliance audit requirements in 10 C.F.R. Part 600 – specifically, 10 C.F.R. § 600.126 for institutions of higher education and nonprofit organizations, 10 C.F.R. § 600.226 for state and local governments, and 10 C.F.R. § 600.316 for for-profit entities. To minimize expense, the Recipient may have a compliance audit in conjunction with its annual audit of financial statements.

15. CONTINUATION APPLICATION AND FUNDING – AWARDS UNDER 10 CFR 600

a. Continuation Application. A continuation application is a non-competitive application for an additional budget period within a previously approved project period. Funding for all awards and future budget periods is contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority. At least ninety (90) days before the end of each budget period, Recipient must submit to the EERE Project Officer and the EERE Award Administrator its continuation application, which includes the following information:

1. A report on the Recipient's progress towards meeting the objectives of the project, including any significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, explain why the excess funds have not been obligated and how they will be used in the next budget period.
2. A detailed budget and supporting justification if there are changes to the negotiated budget, or a budget for the upcoming budget period was not approved at the time of award.
3. A description of any planned changes from the negotiated Statement of Project Objectives.

- b. Continuation Funding. Continuation funding is contingent on (1) the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority; (2) meeting the objectives, milestones, deliverables, decision point criteria, and stage gates of Recipient's approved project and obtaining approval from EERE to continue work on the project; (3) submittal of required reports; and/or (4) compliance with the terms and conditions of the award.
- c. Continuation funding is specifically contingent on EERE approval of Go/No Go or Stage Gate reviews decision points, as set forth in the Statement of Project Objectives.
- d. As a result of the Go/No Go or Stage Gate reviews, EERE may, at its discretion, authorize the following actions by the Recipient: (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority; (2) recommend redirection of work under the project; (3) place a hold on the project, pending further supporting data or funding; or (4) discontinue the project because of insufficient progress, change in strategic direction, or lack of funding.

16. TERMINATION AND ENFORCEMENT

- a. Definition of Material Noncompliance: a failure to follow the terms and conditions of the award, whether stated in a Federal statute, regulation, assurance, application, or notice of award that impedes the objectives outlined in the SOPO (Attachment 1). This shall include, but is not limited to:
 - 1. Failure to achieve deliverable milestones by the mandatory submission due dates in the SOPO;
 - 2. Failure to follow the Performance of Work in the United States in Provision 9;
 - 3. Failure to follow the Reporting Requirements in the attached Financial Assistance Reporting Checklist;
 - 4. Failure to comply with Provision 27, Insolvency, Bankruptcy or Receivership;
 - 5. Failure to rectify any noncompliant act within the prescribed time period after proper notification requirements set forth in 10 CFR 600.24;
 - 6. Multiple nonmaterial failures to comply with the terms and conditions of the award to the extent that the objectives outlined in the SOPO are impaired
 - 7. Assigning or novating the award to another entity without obtaining in advance the express written approval of the assignment or novation by the EERE Contracting Officer; and
 - 8. Encumbering real property or equipment acquired under this award without express written approval by the EERE Contracting Officer.
- b. Failure to Comply with the Agreement. The EERE Contracting Officer shall give written notice to the Recipient upon a finding that the Recipient has materially failed to comply with the terms and conditions of the agreement, setting forth the factual and legal bases for the determination of noncompliance, the corrective actions, and the date by which the corrective actions must be taken. Recipient shall have at a

minimum 30 calendar days to correct the deficiency in performance identified by DOE.

- c. Termination or Suspension by EERE Contracting Officer. If Recipient fails to materially comply with the terms and conditions of the agreement or fails to cure any such default or event of default within the applicable time period, the EERE Contracting Officer may terminate this Award or temporarily or entirely withhold cash payments pending correction of the deficiency by the Recipient. Additional DOE enforcement remedies are contained in 10 CFR § 600.

17. FLOW DOWN REQUIREMENT

Recipient must ensure its subawardees are subject to the requirements set forth in these Special Terms and Conditions by including the appropriate provisions in any subaward. Further, Recipient must include the contract provisions set forth in 10 CFR § 600.148; 10 CFR § 600.236(i); 10 CFR § 600.331(c), as applicable dependent on Recipient's entity type.

SUBPART B. FINANCIAL PROVISIONS

18. FUNDING OF BUDGET PERIODS

EERE has obligated \$1,500,000 for completion of the project authorized by this agreement; however, only \$916,513 is available for work performed by the Recipient during Budget Period 1 of the project. For Budget Period 2, the remainder or \$583,487 will be available contingent upon the submission by the Recipient of a continuation application and written approval of the continuation application by the EERE Contracting Officer.

In the event that the Recipient does not submit a continuation application for subsequent Budget Periods, or EERE disapproves a continuation application for subsequent Budget Periods, the maximum EERE liability to the Recipient is the funds that are available for the current approved Budget Period(s). In such event, EERE reserves the right to deobligate any remaining funds.

Funding for all awards and future budget periods is contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

19. COST SHARING

- a. Total Estimated Project Cost is the sum of the Federal Government share and Recipient share of the estimated project costs. The Recipient's cost share must come from non-Federal sources unless otherwise allowed by law. By accepting Federal funds under this award, Recipient agrees that it is liable for its percentage share of total allowable project costs throughout the life of the project. The cumulative cost share percentage provided to date on each invoice received must reflect, at a minimum, the cost sharing percentage specified below. If the project is terminated early or is not funded to its completion,

Recipient is liable for its percent cost share of the allowable project costs incurred at the close of the award. This cost is shared as follows:

EERE Cost Share \$ / %	Recipient Cost Share \$ / %	Total Estimated Costs
\$1,500,000 / 80%	\$375,000 / 20%	\$1,875,000

- b. If Recipient discovers that it may be unable to provide cost sharing of at least the amount identified in paragraph a. of this term, Recipient must immediately provide written notification to the EERE Award Administrator, indicating whether Recipient will continue or phase out the project. If Recipient plans to continue the project, the notification must describe how replacement cost sharing will be secured.
- c. Recipient must maintain records of all project costs that it claims as cost sharing, including in-kind costs, as well as records of costs to be paid by EERE. Such records are subject to audit.
- d. Failure to provide the cost sharing required by this term may result in the subsequent recovery by EERE of some or all the funds provided under the award.

20. PAYMENT PROCEDURES

- a. Method of Payment. Payment will be made by reimbursement through the Department of Treasury's ASAP system.
- b. Requesting Reimbursement. Requests for reimbursements must be made through the ASAP system. The Recipient's requests for reimbursement should coincide with its normal billing pattern, but not more frequently than every two weeks. Each request must be limited to the amount of disbursements made for the Federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- b. Adjusting payment requests for available cash. The Recipient 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 EERE.
- d. Payments. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that the Recipient filed with the U.S. Department of Treasury.
- e. Supporting Documents for Agency Approval of Payments. Because the Special Terms and Conditions contain provisions with conditions on the Recipient's activities, EERE will require Agency pre-approval of payments. As Agency approval requirement is in effect for the Recipient's award, the ASAP system will indicate that Agency approval is

required when the Recipient submits a request for payment. The Recipient must notify the EERE Project Officer identified on the Assistance Agreement that a payment request has been submitted. The EERE payment authorizing official may request additional information from the Recipient to support the payment requests prior to release of funds, as deemed necessary. Recipient is required to comply with these requests. Supporting documents include invoices, copies of contracts, vendor quotes, and other expenditure explanations that justify the reimbursement requests.

21. ALLOWABLE COSTS

a. Allowable Costs for For-Profit Entities

For nonprofit organizations listed in Attachment C to OMB Circular A-122 (codified at 2 C.F.R. Part 230) and for-profit entities, EERE determines the allowability of costs through reference to the for-profit cost principles in the Federal Acquisition Regulations (48 C.F.R. Part 31).

b. Allowable Costs for Nonprofits

For nonprofit organizations *not listed* in Attachment C to OMB Circular A-122 (codified at 2 C.F.R. Part 230), EERE determines the allowability of costs through reference to the cost principles for nonprofit organizations in OMB Circular A-122 (10 C.F.R. § 600.317(a)(2)(ii)).

c. Allowable Costs for Institutions of Higher Education

For institutions of higher education, EERE determines the allowability of costs through reference to OMB Circular A-21, "Cost Principles of Educational Institutions" (codified at 2 C.F.R. Part 220).

d. Allowable Costs for States and Local Governments

For States, local governments, and tribes, EERE determines the allowability of costs through reference to OMB Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments" (codified at 2 C.F.R. Part 225).

22. INDIRECT COSTS

- a. If actual allowable indirect 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.
- b. Recipients are expected to manage their indirect costs. EERE will not amend an award solely to provide additional funds for changes in indirect cost rates. EERE recognizes that the inability to obtain full reimbursement for indirect costs means the Recipient must

absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

The Recipient shall not be reimbursed on this project for any final indirect costs that are in excess of the following designated indirect rate ceilings or specific amounts: \$133,580. In addition, the Recipient shall neither count costs in excess of the application of the rate ceilings or specific amounts as cost share, nor allocate such costs to other federally sponsored project, unless approved by the EERE Contracting Officer. This restriction does not apply to subrecipients' indirect costs.

- c. Recipient must ensure its subrecipient's indirect costs are appropriately managed, allowable and otherwise comply with the requirements of this award and 10 CFR Part 600.

23. FINAL INCURRED COST AUDIT

In accordance with 10 CFR 600, DOE reserves the right to initiate a final incurred cost audit on this award. If the audit has not been performed or completed prior to the closeout of the award, DOE retains the right to recover an appropriate amount after fully considering the recommendations on disallowed costs resulting from the final audit.

24. USE OF PROGRAM INCOME

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

25. BUDGET CHANGES

The Recipient must obtain the EERE Contracting Officer's prior approval for cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions, or activities which exceed or expected to exceed 10% of the current total approved budget, whenever the Federal share of the project exceeds \$100,000.

26. 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. Dissemination of scientific/technical reports. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge (www.osti.gov/bridge), unless the report contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations).
- c. Restrictions. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

SUBPART C. MISCELLANEOUS PROVISIONS

27. NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS

To the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

28. INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

- a. The Recipient shall immediately notify the EERE of the occurrence of any of the following events: (i) the Recipient or the Recipient's parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) the Recipient's consent to the institution of an involuntary case under the Bankruptcy Act against the Recipient or the Recipient's parent; (iii) the filing of any similar proceeding for or against the Recipient or the Recipient's parent, or the Recipient's consent to the dissolution, winding-up or readjustment of its debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over the Recipient, under any other applicable state or federal law; or (iv) the Recipient's insolvency due to its inability to pay debts generally as they become due.
- b. Such notification shall be in writing and shall: (i) specifically set out the details of the occurrence of an event referenced in paragraph (a); (ii) provide the facts surrounding that event; and (iii) provide the impact such event will have on the project being funded by this award.
- c. Upon the occurrence of any of the four events described in paragraph a. of this provision, EERE reserves the right to conduct a review of the Recipient's award to determine the Recipient's compliance with the required elements of the award (including such items as cost share, progress towards technical project objectives, and submission of required reports). If the EERE review determines that there are significant deficiencies or concerns with the Recipient's performance under the award, EERE reserves the right to impose additional requirements, as needed, including (i) change of payment method; or (ii) institute payment controls.

- d. Failure of the Recipient to comply with this provision may be considered a material noncompliance of this financial assistance award by the Contracting Officer.

29. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION

a. Reporting of first-tier subawards.

1. **Applicability.** Unless the Recipient is exempt as provided in paragraph d. of this award term, the Recipient must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. Where and when to report.

i. The Recipient must report each obligating action described in paragraph a.1. of this award term to <https://www.fsrs.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. **What to report.** The Recipient must report the information about each obligating action that the submission instructions posted at <https://www.fsrs.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. **Applicability and what to report.** The Recipient must report total compensation for each of its five most highly compensated executives for the preceding completed fiscal year, if

i. The total Federal funding authorized to date under this award is \$25,000 or more;

ii. In the preceding fiscal year, the Recipient received;

(A) 80 percent or more of the Recipient's annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the

executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>)

2. Where and when to report. The Recipient must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of the Recipient's registration profile at <https://www.sam.gov>.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless the Recipient is exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, the Recipient shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if;

- i. In the subrecipient's preceding fiscal year, the subrecipient received;
 - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
- ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>)

2. Where and when to report. The Recipient must report subrecipient executive total compensation described in paragraph c.1. of this award term:

- i. To the recipient.
- ii. By the end of the month following the month during which the Recipient makes the subaward. For example, if a subaward is obligated on any date during

the month of October of a given year (*i.e.*, between October 1 and 31), the Recipient must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, the Recipient had gross income, from all sources, under \$300,000, it is exempt from the requirements to report:

- i. Subawards and;
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR Part 25:

- i. A Governmental organization, which is a State, local government, or Indian tribe;
- ii. A foreign public entity;
- iii. A domestic or foreign nonprofit organization;
- iv. A domestic or foreign for-profit organization;
- v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the Recipient received this award and that the recipient awards to an eligible subrecipient.
- ii. The term does not include the Recipient's procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ___ .210 of the attachment to OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations).
- iii. A subaward may be provided through any legal agreement, including an agreement that the Recipient or a subrecipient considers a contract.

4. Subrecipient means an entity that:

- i. Receives a subaward from the Recipient under this award; and
- ii. Is accountable to the Recipient for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- i. Salary and bonus.
- ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- v. Above-market earnings on deferred compensation which is not tax-qualified.
- vi. Other compensation, if the aggregate value of all such other compensation (*e.g.* severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

30. SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS

A. Requirement for Registration in the System for Award Management (SAM)

Unless the Recipient is exempted from this requirement under 2 CFR 25.110, the Recipient must maintain the currency of its information in SAM until the Recipient submits the final financial report required under this award or receive the final payment, whichever is later. This requires that the Recipient reviews and updates the information at least annually after the initial registration, and more frequently if required by changes in its information or another award term.

If the Recipient had an active registration in the CCR, it has an active registration in SAM.

B. Requirement for Data Universal Numbering System (DUNS) Numbers

If the Recipient is authorized to make subawards under this award, the Recipient:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from the Recipient unless the entity has provided its DUNS number to the Recipient.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to the Recipient.

C. Definitions

For purposes of this award term:

1. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <https://www.sam.gov>).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR Part 25, subpart C:
 - a. A Governmental organization, which is a State, local government, or Indian Tribe;
 - b. A foreign public entity;
 - c. A domestic or foreign nonprofit organization;
 - d. A domestic or foreign for-profit organization; and
 - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
 - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the Recipient received this award and that the Recipient awards to an eligible subrecipient.
 - b. The term does not include the Recipient's procurement of property and services

needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations).

c. A subaward may be provided through any legal agreement, including an agreement that the Recipient considers a contract.

5. Subrecipient means an entity that:

- a. Receives a subaward from the Recipient under this award; and
- b. Is accountable to the Recipient for the use of the Federal funds provided by the subaward.

**Intellectual Property Provisions (NRD-1003)
Nonresearch and Development**

Nonprofit organizations are subject to the intellectual property requirements at 10 CFR 600.136(a), (c) and (d). All other organizations are subject to the intellectual property requirements at 10 CFR 600.136(a) and (c).

600.136 Intangible property.

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

(c) DOE has the right to:

(1) Obtain, reproduce, publish or otherwise use the data first produced under an award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

(d) In addition, in response to a Freedom of Information act (FOIA) request for research data relating to published research findings produced under an award that were used by the Federal Government in developing an agency action that has the force and effect of law, the DOE shall request, and the recipient shall provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the DOE obtains the research data solely in response to a FOIA request, the agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect the costs incurred by the agency, the recipient, and applicable subrecipients. This fee is in addition to any fees the agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

**U.S. Department of Energy
 FEDERAL ASSISTANCE REPORTING CHECKLIST
 AND INSTRUCTIONS FOR RD&D PROJECTS**

1. Identification Number: DE -EE0006305.0000	2. Program/Project Title: New England Solar Cost-Reduction Partnership																																						
3. Recipient: Clean Energy States Alliance, Inc.																																							
4. Reporting Requirements: A. MANAGEMENT REPORTING <input type="checkbox"/> Research Performance Progress Report (RPPR) (RD&D Projects) <input checked="" type="checkbox"/> Progress Report (Non-RD&D Projects) <input checked="" type="checkbox"/> Special Status Report B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/elink) <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Report/Product</th> <th style="text-align: left;">Form</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Final Scientific Report</td> <td>DOE F 241.3</td> </tr> <tr> <td><input checked="" type="checkbox"/> Conference papers/proceedings*</td> <td>DOE F 241.3</td> </tr> <tr> <td><input checked="" type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> </tr> <tr> <td><input checked="" type="checkbox"/> Other (see special instructions)</td> <td>DOE F 241.3</td> </tr> </tbody> </table> <p><i>* Scientific and technical conferences only</i></p> C. FINANCIAL REPORTING <input checked="" type="checkbox"/> SF-425, Federal Financial Report D. CLOSEOUT REPORTING <input checked="" type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> SF-428 & 428B Final Property Report <input type="checkbox"/> Other E. OTHER REPORTING <input checked="" type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Audit of For-Profit Recipients <input type="checkbox"/> SF-428 Tangible Personal Property Report Forms Family <input checked="" type="checkbox"/> Other	Report/Product	Form	<input type="checkbox"/> Final Scientific Report	DOE F 241.3	<input checked="" type="checkbox"/> Conference papers/proceedings*	DOE F 241.3	<input checked="" type="checkbox"/> Software/Manual	DOE F 241.4	<input checked="" 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;">Addresses</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">FQ</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">A</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">A</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">A</td> <td>http://www.osti.gov/elink-2413</td> </tr> <tr> <td style="text-align: center;">A</td> <td>http://www.osti.gov/elink-2413</td> </tr> <tr> <td style="text-align: center;">A</td> <td>http://www.osti.gov/estsc/241-4pre.isp</td> </tr> <tr> <td style="text-align: center;">A</td> <td>http://www.osti.gov/elink-2413</td> </tr> <tr> <td style="text-align: center;">FQ</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">F</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">A</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">A</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx</td> </tr> <tr> <td style="text-align: center;">Y180</td> <td>See block 5 below for instructions. See block 5 below for addresses.</td> </tr> <tr> <td style="text-align: center;">A</td> <td>https://www.eere-pmc.energy.gov/SubmitReports.aspx See block 5 below for instructions</td> </tr> </tbody> </table>	Frequency	Addresses	FQ	https://www.eere-pmc.energy.gov/SubmitReports.aspx	A	https://www.eere-pmc.energy.gov/SubmitReports.aspx	A	https://www.eere-pmc.energy.gov/SubmitReports.aspx	A	http://www.osti.gov/elink-2413	A	http://www.osti.gov/elink-2413	A	http://www.osti.gov/estsc/241-4pre.isp	A	http://www.osti.gov/elink-2413	FQ	https://www.eere-pmc.energy.gov/SubmitReports.aspx	F	https://www.eere-pmc.energy.gov/SubmitReports.aspx	A	https://www.eere-pmc.energy.gov/SubmitReports.aspx	A	https://www.eere-pmc.energy.gov/SubmitReports.aspx	Y180	See block 5 below for instructions. See block 5 below for addresses.	A	https://www.eere-pmc.energy.gov/SubmitReports.aspx See block 5 below for instructions
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FREQUENCY CODES AND DUE DATES: A - Within 5 calendar days after events or as specified. 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 the reporting period. Q - Quarterly; within 30 days after end of the reporting period. O - Other: See instructions for further details Y180 - Yearly; 180 days after end of the recipient's fiscal year.																																							
5. Special Instructions: Annual Indirect Cost Proposal - If DOE is the Cognizant Federal Agency, then the proposal should be sent to https://www.eere-pmc.energy.gov/SubmitReports.aspx . Otherwise, it should be sent to the Cognizant Federal Agency. Audit of For-Profit Recipients must be sent to 2 different addresses in accordance with the final audit guidance. A copy for the Contracting Officer shall be submitted via https://www.eere-pmc.energy.gov/SubmitReports.aspx ; a copy must also be e-mailed to the CFO at DOE-Audit-Submission@hq.doe.gov SCIENTIFIC/TECHNICAL REPORTING A final Solar Market Maturity assessment using the Solar Metrics portal is required on the last day of the project period (30 months after project initiation). DOE may also require additional Solar Market Maturity assessments (e.g., corresponding to the end of Budget Period 1 and/or the end of the first project year																																							

Federal Assistance Reporting Instructions (03/2013)

A. MANAGEMENT REPORTING

For awards involving RD&D a Research Performance Progress Report is required to be submitted. For all other awards a Progress Report is required to be submitted.

Either the Research Performance Progress Report (RPPR) or the Progress Report must be checked, but not both.

Research Performance Progress Report (RPPR)(RD&D Projects)

See attached document entitled "Research Performance Progress Report" for instructions on what the Recipient is to include in the RPPR.

Progress Report (Non-RD&D Projects)

The Recipient 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 and report information:
 - a. The DOE Award Number (as it appears on the award face page)
 - b. Recipient Name (as it appears on the award face page)
 - c. Project Title
 - d. PD/PI Name, Title and Contact Information (e-mail address and phone number)
 - e. Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
 - f. Project Period (Start Date, End Date)
 - g. Report Submission Date
 - h. Reporting Period Start and End Date
2. A written comparison of the actual project accomplishments with the project goals and objectives established for the reporting period; if goals and/or objectives for the reporting period were not met, a detailed description of the variance shall be provided.
3. A discussion of what was accomplished under these goals and objectives established for 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.
4. Cost Status. A comparison of the approved budget by budget period and the actual costs incurred during the reporting period shall be provided. If cost sharing is required, the cost breakdown shall show the DOE share, recipient share, and total costs.

5. 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 variances. You may use your own project management system to provide this information.
6. Describe any changes during the reporting period in project approach and the reasons for these changes. Remember, significant changes to the project objectives and scope require prior approval by the Contracting Officer.
7. Describe any actual or anticipated problems or delays and any actions taken or planned to resolve them.
8. Describe any absence or changes of key personnel or changes in consortium/teaming arrangement during the reporting period.
9. List and describe any product produced or technology transfer activities accomplished during this reporting period, such as:
 - a. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement Cover Page.
 - b. Web site or other Internet sites (list the URL) that reflect the results of this project.
 - c. Networks or collaborations fostered.
 - d. Technologies/Techniques (Identify and Describe).
 - e. Inventions/Patent Applications (Identify and Describe with date of application)
 - f. Other products, such as data or databases, physical collections, audio or video, software or NetWare, models, educational aid or curricula, instruments or equipment (Identify and Describe).

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 Program Manager identified in Block 15 of the Assistance Agreement Cover page;
 - b. Web site or other Internet sites that reflect the results of this project;

- c. Networks or collaborations fostered;
 - d. Technologies/Techniques;
 - e. Inventions/Patent Applications, 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/mlink-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 DOE Administrator at the address listed in Block 16 of the Assistance Agreement Cover Page.

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 scientific/technical 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/mlink-2413>. Non-scientific/technical conference papers/proceedings must be sent to the URL listed on the Reporting Checklist.

Electronic Format. Scientific/technical 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 16 of the Assistance Agreement Cover Page.

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/mlink-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>.

Protected Personally Identifiable Information (PII). Management Reports or Scientific/Technical Reports must not contain any *Protected* PII. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number, and general educational credentials. In contrast, *Protected* PII is defined as an individual's first name or first initial and last name in combination

with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.

C. FINANCIAL REPORTING

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

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The recipient must provide a DOE Form 2050.11 , "PATENT CERTIFICATION." This form is available at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Reporting Forms.

Final Property Report

See instructions under SF-428. Tangible Personal Property Report Forms Family below.

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 Recipient's 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 its indirect costs. If the DOE awarding office is the cognizant agency, the Recipient must submit their annual indirect cost proposal to <https://www.eere-pmc.energy.gov/SubmitReports.aspx>.

Audit of For-Profit Recipients

As required by 10 CFR 600.316, audits must be performed of For-Profit Recipients of financial assistance awards.

For-Profit Audit Guidance Parts I through IV is available to assist For-profit Recipients in complying with the audit requirements of 10 CFR 600.316. This Guidance is posted on the Financial Assistance Forms page of the DOE MA home page under the 'Coverage of Independent Audits' subheading at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

Submission: The compliance audit report(s) is due to DOE within six months of the Recipient's fiscal year-end date. The compliance audit report must be submitted, along with audited financial statements (if applicable), to the appropriate DOE Contracting Officer at <https://www.eere-pmc.energy.gov/SubmitReports.aspx> as well as to the DOE Office of the Chief Financial Officer (CFO) at DOE-Audit-Submission@hq.doe.gov.

SF-428 Tangible Personal Property Report Forms Family

- **Requirement.** The SF-428 is a forms family consisting of 5 forms: the SF-428, SF-428-A, SF-428-B, SF-428-C, and SF-428S. Fillable versions of the SF-428 forms are available at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.
- The SF-428 is the cover page and the submitter attaches the appropriate form or forms as listed on the SF-428.
- The SF-428-A is the Annual report, due Oct. 30th of each calendar year.
- The SF-428-B is the Final Award Closeout Report, due 90 calendar days after completion or termination of the award.
- The SF-428-C is the Disposition Report/Request.
- The SF-428S is the supplemental form for the SF-428-A, SF-428-B and SF-428-C.

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 Administrator using the SF-428 and SF-428-A forms at the address on page 1 of this checklist no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th. The SF-428 and SF-428-B reports are required 90 calendar days after completion or termination of award to complete the closeout process.

Content of Inventory. As required on the SF-428-A and SF-428-S forms, the inventory must include a description of the property, tag number, acquisition date, and acquisition cost, if purchased with project funds. The location of property should be listed under the Comments section. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

RESEARCH PERFORMANCE PROGRESS REPORT

Standard Cover Page Data Elements and Reporting Categories

The standard cover page data elements shown below, as well as mandatory and optional components comprise the complete research performance progress report format.

Each category in the RPPR is a separate reporting component. Each component is marked to indicate if it is optional or mandatory. Mandatory components must be addressed in each report, optional are at your discretion.

If you have nothing significant to report during the reporting period on a question or item, state "Nothing To Report".

1. COVER PAGE DATA ELEMENTS: Mandatory

- a. Federal Agency and Organization Element to Which Report is Submitted
- b. Federal Grant or Other Identifying Number Assigned by Agency
- c. Project Title
- d. PD/PI Name, Title and Contact Information (e-mail address and phone number)
- e. Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
- f. Submission Date
- g. DUNS Number
- h. Recipient Organization (Name and Address)
- i. Project/Grant Period (Start Date, End Date)
- j. Reporting Period End Date
- k. Report Term or Frequency (annual, semi-annual, quarterly, other)
- l. Signature of Submitting Official (electronic signatures (i.e., Adobe Acrobat) are acceptable)

2. ACCOMPLISHMENTS: Mandatory

What was done? What was learned?

The information provided in this section allows the agency to assess whether satisfactory progress has been made during the reporting period. The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer (submission via Fedconnect is acceptable).

a. What are the major goals of the project?

List the major goals of the project as stated in the approved application or as approved by the agency. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion. Generally, the goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the agency approved application or plan.

b. What was accomplished under these goals?

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

c. What opportunities for training and professional development has the project provided?

Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. "Training" activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional development" activities result in increased knowledge or skill in one's area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.

d. How have the results been disseminated to communities of interest?

Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.

e. What do you plan to do during the next reporting period to accomplish the goals?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

3. PRODUCTS: [Optional/Mandatory]

What has the project produced?

Publications are the characteristic product of research. Agencies evaluate what the publications demonstrate about the excellence and significance of the research and the efficacy with which the results are being communicated to colleagues, potential users, and the public, not the number of publications. Many projects (though not all) develop significant products other than publications. Agencies assess and report both publications and other products to Congress, communities of interest, and the public.

List any products resulting from the project during the reporting period. Examples of products include: publications, conference papers, and presentations; website(s) or other Internet site(s); technologies or techniques; inventions, patent applications, and/or licenses; and other products, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments, or equipment, or any other public release of information related to the project.

a. Publications, conference papers, and presentations

Report only the major publication(s) resulting from the work under this award. There is no restriction on the number. However, agencies are interested in only those publications that most reflect the work under this award in the following categories:

i. Journal publications. List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under "Books or other non-periodical, one-time publications." Identify for each publication: Author(s); title; journal; volume; year; page numbers; status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

ii. Books or other non-periodical, one-time publications. Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like. Identify for each one-time publication: author(s); title; editor; title of collection, if applicable; bibliographic information; year; type of publication (book, thesis or dissertation, other); status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

iii. Other publications, conference papers and presentations. Identify any other publications, conference papers and/or presentations not reported above. Specify the status of the publication as noted above.

b. Website(s) or other Internet site(s)

List the URL for any Internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above in this section.

c. Technologies or techniques

Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared.

d. Inventions, patent applications, and/or licenses

Identify inventions, patent applications with date, and/or licenses that have resulted from the research. Submission of this information as part of an interim research performance progress report is not a substitute for any other invention reporting required under the terms and conditions of an award.

e. Other products

Identify any other significant products that were developed under this project. Describe the product and how it is being shared. Examples of other products are: Databases; Physical collections; Audio or video products; Software or NetWare; Models; Educational aids or curricula; Instruments or equipment; Data & Research Material (e.g., cell lines, DNA probes, animal models); and Other.

4. PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS:

[Optional/Mandatory]

Who has been involved?

Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations. The following information on participants must be provided:

a. What individuals have worked on the project?

Provide the following information for: (1) principal investigator(s)/project director(s) (PIs/PDs); and (2) each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours of effort).

Provide the name and identify the role the person played in the project. Do NOT include any other identifying information on individuals. Indicate the nearest whole person month (Calendar, Academic, Summer) that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student, preferably explaining the change in involvement. Describe how this person contributed to the project and with what funding support. If information is unchanged from a previous submission, provide the name only and indicate "no change". Identify whether this person is collaborating internationally. Specifically is the person collaborating with an individual located in a foreign country and whether the person had traveled to the foreign country as part of that collaboration and duration of stay. The foreign country(ies) should be identified.

Example:

1. **Name:** Mary Smith
2. **Project Role:** Graduate Student
3. **Nearest person month worked:** 5
4. **Contribution to Project:** Ms. Smith has performed work in the area of combined error-control and constrained coding.
5. **Funding Support:** The Ford Foundation (Complete only if the funding provided from other than this award.)
6. **Collaborated with individual in foreign country:** Yes
7. **Country(ies) of foreign collaborator:** China
8. **Traveled to foreign country:** Yes
9. **If traveled to foreign country(ies), duration of stay:** 5 months

b. What other organizations have been involved as partners?

Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations (foreign or domestic) – that have been involved with the project. Partner organizations may provide financial or in-kind support, supply facilities or equipment, collaborate in the research, exchange personnel, or otherwise contribute.

Provide the following information for each partnership:

1. Organization Name:
2. Location of Organization: (if foreign location list country)
3. Partner's contribution to the project (identify one or more)
4. Financial support;
5. In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
6. Facilities (e.g., project staff use the partner's facilities for project activities);
7. Collaborative research (e.g., partner's staff work with project staff on the project); and
8. Personnel exchanges (e.g., project staff and/or partner's staff use each other's facilities,

work at each other's site).

9. More detail on partner and contribution (foreign or domestic).

c. Have other collaborators or contacts been involved?

Some significant collaborators or contacts within the recipient's organization may not be covered by "What people have worked on the project?" Likewise, some significant collaborators or contacts outside the recipient's organization may not be covered under "What other organizations have been involved as partners?" For example, describe any significant: collaborations with others within the recipient's organization; especially interdepartmental or interdisciplinary collaborations; collaborations or contact with others outside the organization; and collaborations or contacts with others outside the United States or with an international organization. country(ies) of collaborations or contacts.

It is likely that many recipients will have no other collaborators or contacts to report.

5. IMPACT: [Optional/Mandatory]

What is the impact of the project? How has it contributed?

Over the years, this base of knowledge, techniques, people, and infrastructure is drawn upon again and again for application to commercial technology and the economy, to health and safety, to cost-efficient environmental protection, to the solution of social problems, to numerous other aspects of the public welfare, and to other fields of endeavor.

The taxpaying public and its representatives deserve a periodic assessment to show them how the investments they make benefit the nation. Through this reporting format, and especially this section, recipients provide that assessment and make the case for Federal funding of research and education.

Agencies use this information to assess how their research programs: increase the body of knowledge and techniques; enlarge the pool of people trained to develop that knowledge and techniques or put it to use; and improve the physical, institutional, and information resources that enable those people to get their training and perform their functions.

This component will be used to describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period. Describe distinctive contributions, major accomplishments, innovations, successes, or any change in practice or behavior that has come about as a result of the project relative to: the development of the principal discipline(s) of the project; other disciplines; the development of human resources; physical, institutional, and information resources that form infrastructure; technology transfer (include transfer of results to entities in government or industry, adoption of new practices, or instances where research has led to the initiation of a startup company); or society beyond science and technology.

a. What is the impact on the development of the principal discipline(s) of the project?

Describe how findings, results, techniques that were developed or extended, or other products from the project made an impact or are likely to make an impact on the base of knowledge, theory, and research and/or pedagogical methods in the principal disciplinary field(s) of the project. Summarize using language that an intelligent lay audience can understand (*Scientific American* style). How the field or discipline is defined is not as important as covering the impact the work has had on knowledge and technique. Make the best distinction possible, for example, by using a "field" or "discipline", if appropriate, that corresponds with a single academic department (i.e., physics rather than nuclear physics).

b. What is the impact on other disciplines?

Describe how the findings, results, or techniques that were developed or improved, or other products from the project made an impact or are likely to make an impact on other disciplines.

c. What is the impact on the development of human resources?

Describe how the project made an impact or is likely to make an impact on human resource development in science, engineering, and technology. For example, how has the project: provided opportunities for research and teaching in the relevant fields; improved the performance, skills, or attitudes of members of underrepresented groups that will improve their access to or retention in research, teaching, or other related professions; developed and disseminated new educational materials or provided scholarships; or provided exposure to science and technology for practitioners, teachers, young people, or other members of the public?

d. What is the impact on physical, institutional, and information resources that form infrastructure?

Describe ways, if any, in which the project made an impact, or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including: physical resources such as facilities, laboratories, or instruments; institutional resources (such as establishment or sustenance of societies or organizations); or information resources, electronic means for accessing such resources or for scientific communication, or the like.

e. What is the impact on technology transfer?

Describe ways in which the project made an impact, or is likely to make an impact, on commercial technology or public use, including: transfer of results to entities in government or industry; instances where the research has led to the initiation of a start-up company; or adoption of new practices.

f. What is the impact on society beyond science and technology?

Describe how results from the project made an impact, or are likely to make an impact, beyond the bounds of science, engineering, and the academic world on areas such as: improving public knowledge, attitudes, skills, and abilities; changing behavior, practices, decision making, policies (including regulatory policies), or social actions; or improving social, economic, civic, or environmental conditions.

g. What dollar amount of the award's budget is being spent in foreign country(ies)?

Describe what percentage of the award's budget is being spent in foreign country(ies). If more than one foreign country is involved, identify the distribution between the foreign countries.

6. CHANGES/PROBLEMS: [Optional/Mandatory]

The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer (submission via Fedconnect is acceptable). If not previously reported in writing, provide the following additional information, if applicable: Changes in approach and reasons for change; Actual or anticipated problems or delays and actions or plans to resolve them; Changes that have a significant impact on expenditures; Significant changes in use or care of animals, human subjects, and/or biohazards.

a. Changes in approach and reasons for change

Describe any changes in approach during the reporting period and reasons for these changes. Remember that significant changes in objectives and scope require prior approval of the agency.

b. Actual or anticipated problems or delays and actions or plans to resolve them

Describe problems or delays encountered during the reporting period and actions or plans to resolve them.

c. Changes that have a significant impact on expenditures

Describe changes during the reporting period that may have a significant impact on expenditures, for example, delays in hiring staff or favorable developments that enable meeting objectives at less cost than anticipated.

d. Significant changes in use or care of human subjects, vertebrate animals, and/or Biohazards

Describe significant deviations, unexpected outcomes, or changes in approved protocols for the use or care of human subjects, vertebrate animals, and/or biohazards during the reporting period. If required, were these changes approved by the applicable institution committee and reported to the agency? Also specify the applicable Institutional Review Board/Institutional Animal Care and Use Committee approval dates.

e. Change of primary performance site location from that originally proposed

Identify any change to the primary performance site location identified in the proposal, as originally submitted.

7. SPECIAL REPORTING REQUIREMENTS: [Optional/Mandatory]

Respond to any special reporting requirements specified in the award terms and conditions, as well as any award specific reporting requirements.

8. BUDGETARY INFORMATION: [Optional/Mandatory]

This component will be used to collect budgetary data from the recipient organization. The information will be used in conducting periodic administrative/budgetary reviews. Budgetary data should be submitted in an Excel spreadsheet format.

9. PROJECT MANAGEMENT PLAN (PMP) [Optional/Mandatory]

Iterations and Maintenance

The recipient is required to develop, update, and adhere to a project management plan. The purpose of the plan is to establish cost, schedule, and technical performance baselines, and to formalize the processes by which the project will be managed. These processes include considerations such as risk management, change management, and communications management. While it is primarily the project recipient's responsibility to maintain the plan, Federal staff may request changes. The plan is intended to be a living document, modified as necessary, and comprising the following iterations:

Application Draft

The recipient must submit a draft of the project management plan with the initial application for financial assistance.

Negotiation Draft

The selected recipient may be called upon by the selecting Office to revise its project management plan during the negotiation phase.

Active Plan

Following formal award of the financial assistance agreement, the recipient must submit an updated project management plan, to include any changes requested during negotiation and a timeline based upon the actual award date.

a. Revised Plan(s)

During the life of the project the recipient must submit a revised project management plan based on the following circumstances:

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 the program office to respond to questions relating to such events from the public. Specifically, the recipient must update the plan when any of the following incidents occur:
 - a) Any event which is anticipated to cause significant schedule or cost changes, such as changes to the funding and costing profile or changes to the project timeline.
 - b) Any change to Technology Readiness Level.
 - c) Any significant change to risk events (including both potential and realized events) or to risk management strategies.
 - d) Failure to meet a milestone or milestones; any dependencies should be adjusted.
 - e) Any changes to partnerships.
 - f) Any significant change to facilities or other project resources.
 - g) Any other incident that has the potential for high visibility in the media.

b. Content of revised PMP:

Project Title: The DOE award number and project title

Recipient Organization: Official name of the recipient organization

Principal Investigator: The name and title of the project director/ principal investigator

Date of Plan: The date the plan or plan revision was completed

The revised PMP must describe changes to any of the following sections of the PMP as well as provide updated versions of any logs, tables, charts, or timelines.

1. **Executive Summary:** Provide a description of the project that includes the objective, project goals, and expected results. The description should include a high level description of the technology, potential use or benefit of the technology, location of work sites and a brief discussion of work performed at each site, along with a description of project phases (if the project includes phases).
2. **Technology Readiness Levels (TRLs):** Identify the readiness level of the technology associated with the project as well as the planned progression during the course of project execution. A detailed explanation of the rationale for the estimated technology readiness level should be provided. Specific entry criteria for the next higher technology readiness level should be identified. The following definitions apply:

a) TRL-1. Basic principles observed and reported: Scientific problem or phenomenon identified. Essential characteristics and behaviors of systems and architectures are identified using mathematical formulations or algorithms. The observation of basic scientific principles or phenomena has been validated through peer-reviewed research. Technology is ready to transition from scientific research to applied research.

b) TRL-2. Technology concept and/or application formulated: Applied research activity. Theory and scientific principles are focused on specific application areas to define the concept. Characteristics of the application are described. Analytical tools are developed for simulation or analysis of the application.

c) TRL-3. Analytical and experimental critical function and/or characteristic proof of concept: Proof of concept validation has been achieved at this level. Experimental research and development is initiated with analytical and laboratory studies. System/integrated process requirements for the overall system application are well known. Demonstration of technical feasibility using immature prototype implementations are exercised with representative interface inputs to include electrical, mechanical, or controlling elements to validate predictions.

d) TRL-4. Component and/or process validation in laboratory environment- Alpha prototype (component) Standalone prototyping implementation and testing in laboratory environment demonstrates the concept. Integration and testing of component technology elements are sufficient to validate feasibility.

e) TRL-5. Component and/or process validation in relevant environment- Beta prototype (component): Thorough prototype testing of the component/process in relevant environment to the end user is performed. Basic technology elements are integrated with reasonably realistic supporting elements based on available technologies. Prototyping implementations conform to the target environment and interfaces.

f) TRL-6. System/process model or prototype demonstration in a relevant environment- Beta prototype (system): Prototyping implementations are partially integrated with existing systems. Engineering feasibility fully demonstrated in actual or high fidelity system applications in an environment relevant to the end user.

g) TRL-7. System/process prototype demonstration in an operational environment- Integrated pilot (system): System prototyping demonstration in operational environment. System is at or near full scale (pilot or engineering scale) of the operational system, with most functions available for demonstration and test. The system, component, or process is integrated with collateral and ancillary systems in a near production quality prototype.

h) TRL-8. Actual system/process completed and qualified through test and demonstration- Pre-commercial demonstration: End of system development. Full-scale system is fully integrated into operational environment with fully operational hardware and software systems. All functionality is tested in simulated and operational scenarios with demonstrated achievement of end-user specifications. Technology is ready to move from development to commercialization.

3. **Risk Management:** Provide a summary description of the proposed approach to identify, analyze, and respond to potential risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. At a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues. The risk management approach should be tailored to the TRL. If a project or task is expected to progress to a higher TRL, then the risk plan should address the retirement of any risks associated with the first TRL and identify new risks related to moving to the next TRL. Additionally, the risk management approach should include risk opportunities that if realized, could benefit the project.

4. **Milestone Log:** Provide milestones for each budget period (or phase) of the project. Each milestone should include a title and planned completion date. Milestones should be quantitative (e.g., a date, a decision to be made, a key event) and show progress toward budget period and/or project goals. Milestones should also be important and few. Higher TRL projects (Demonstration and Deployment) typically have the most detailed milestone logs compared to lower TRL level projects (Research and Development). If applicable, milestones chosen should clearly reflect progress through various TRL stages.

Note: The Milestone Status must present actual performance in comparison with the Milestone Log, and include:

- (a) the actual status and progress of the project,
 - (b) specific progress made toward achieving the project's milestones, and,
 - (c) any proposed changes in the project's schedule required to complete milestones.
5. **Funding and Costing Profile:** Provide a table (the Project Funding Profile) that shows, by budget period, the amount of government funding going to each project team member. Also a table (the Project Costing Profile) which projects, by month, the expenditure of both government and recipient funds for the first budget period, at a minimum. The Funding and Costing Profile should show the relationships with the Milestone Log (Item 4 above) and Project Timeline (Item 6 below); for example, Funding and Costing information could be shown as an overlay on milestone or timeline charts.
 6. **Project Timeline:** Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline should include a start date and end date for each task, as well as interim milestones. The timeline should also show interdependencies between tasks and include the milestones that are identified in the Milestone Log (Item 4 above). The timeline should also show the relationship to the Project Costing Profile (Item 5 above). If applicable, the timeline should include activities and milestones related to achieving succeeding TRLs.
 7. **Success Criteria at Decision Points:** Provide well-defined success criteria for each decision point in the project, including go/no-go decision points and the conclusions of budget periods and the entire project. The success criteria should be objective and stated in terms of specific, measurable, and repeatable data. Usually, the success criteria pertain to desirable outcomes, results, and observations from the project. Key milestones can be associated with success criterion. If applicable, the success criteria should include exit criteria for progressing from one TRL to the next.
 8. **Key Partnerships, Teaming Arrangements and Team Members:** Provide a list of key team members in the project as well as the role and contact information of each. A hierarchical project organization and structure chart should be provided along with a description of the role and responsibilities of each team member in terms of contribution to project scope. The section should also include key team members who fulfill single or multiple roles within a project as well as the contact information for each.
 9. **Facilities and Resources:** Provide a list of project locations along with a discussion of capabilities and activities performed at each site in terms of contribution to project scope. The address of each work site should be provided.

10. Communications Management: Describe the communications needs and expectations for the project team members. The communications plan may be simple or detailed, depending on the complexity of the project. At a minimum, the plan should include contact information, methods of communicating and anticipated frequency.

11. Change Management: Provide a description of the process for managing change on the project. Describe how change will be monitored, controlled and documented within the project. This includes, but is not limited to, changes to the Scope, Schedule, and Budget. If applicable, Change Management should include assessing how changes impact TRLs.

**Intellectual Property Provisions (NRD-1003)
Nonresearch and Development**

Nonprofit organizations are subject to the intellectual property requirements at 10 CFR 600.136(a), (c) and (d). All other organizations are subject to the intellectual property requirements at 10 CFR 600.136(a) and (c).

600.136 Intangible property.

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

(c) DOE has the right to:

(1) Obtain, reproduce, publish or otherwise use the data first produced under an award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

(d) In addition, in response to a Freedom of Information act (FOIA) request for research data relating to published research findings produced under an award that were used by the Federal Government in developing an agency action that has the force and effect of law, the DOE shall request, and the recipient shall provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the DOE obtains the research data solely in response to a FOIA request, the agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect the costs incurred by the agency, the recipient, and applicable subrecipients. This fee is in addition to any fees the agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

ASSISTANCE AGREEMENT

1. Award No. DE-EE0006305	2. Modification No.	3. Effective Date 09/30/2013	4. CFDA No. 81.117
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5. Awarded To CLEAN ENERGY STATES ALLIANCE, INC. Attn: MARIA BLAIS SUITE 1 MONTPELIER VT 056022927	6. Sponsoring Office Energy Efficcy & Renewable Energy	7. Period of Performance 09/30/2013 through 03/31/2015
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8. Type of Agreement <input type="checkbox"/> Grant <input checked="" type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority EPAct 2005	10. Purchase Request or Funding Document No. 13EE003787
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11. Remittance Address CLEAN ENERGY STATES ALLIANCE, INC. Attn: MARIA BLAIS SUITE 1 MONTPELIER VT 056022927	12. Total Amount Govt. Share: \$1,500,000.00 Cost Share : \$375,000.00 Total : \$1,875,000.00	13. Funds Obligated This action: \$1,500,000.00 Total : \$1,500,000.00
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14. Principal Investigator Iren Leon Phone: 978-317-4559	15. Program Manager Rose Marie S. Holsing Phone: 202-287-1793	16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393
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17. Submit Payment Requests To	18. Paying Office	19. Submit Reports To See Attachment #2
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20. Accounting and Appropriation Data
03601

21. Research Title and/or Description of Project
NEW ENGLAND SOLAR COST-REDUCTION PARTNERSHIP

For the Recipient	For the United States of America
22. Signature of Person Authorized to Sign	25. Signature of Grants/Agreements Officer Signature on File

23. Name and Title	24. Date Signed	26. Name of Officer Michael A. Schledorn	27. Date Signed 09/17/2013
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CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0006305

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NAME OF OFFEROR OR CONTRACTOR
CLEAN ENERGY STATES ALLIANCE, INC.

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 786706650</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>The Project Period for this award is 09/30/2013 through 03/31/2016 consisting of the following Budget Periods:</p> <p>Budget Period 1: 09/30/2013 to 03/31/2015 Budget Period 2: 04/01/2015 to 03/31/2016</p> <p>In Block 7 of the Assistance Agreement, the Period of Performance reflects the beginning of the Project Period through the end of the current Budget Period.</p> <p>Additional future DOE funding and additional budget periods are not contemplated under this award. Funding for all awards and future budget periods is contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.</p> <p>The Special Terms and Conditions for this award contain specific funding restrictions. Please review the applicable terms for procedures required to lift the restrictions.</p> <p>DOE Award Administrator: Fania Gordon E-mail: fania.gordon@go.doe.gov Phone: 720-356-1546</p> <p>DOE Project Officer: Rose Marie Holsing E-mail: rosemarie.holsing@ee.doe.gov Phone: 202-287-1793</p> <p>Recipient Business Officer: Anthony Vargo E-mail: tony@cleanegroup.org Phone: 802-223-2554 x214</p> <p>Recipient Principal Investigator: Warren Leon E-mail: wleon@cleanegroup.org Phone: 978-317-4559</p> <p>Continued ...</p>				

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0006305

PAGE OF
3 | 3

OF OFFEROR OR CONTRACTOR
CLEAN ENERGY STATES ALLIANCE, INC.

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>"Electronic signature or signatures as used in this document means a method of signing an electronic message that--</p> <p>(A) Identifies and authenticates a particular person as the source of the electronic message;</p> <p>(B) Indicates such person's approval of the information contained in the electronic message; and,</p> <p>(C) Submission via FedConnect constitutes electronically signed documents."</p> <p>ASAP: YES Extent Competed: COMPETED Davis-Bacon Act: NO</p> <p>Fund: 05450 Appr Year: 2013 Allottee: 31 Report Entity: 200835 Object Class: 41100 Program: 1005622 Project: 0000000 WFO: 0000000 Local Use: 0000000</p>				



New Hampshire Fish and Game Department

FIS 15 213

HEADQUARTERS: 11 Hazen Drive, Concord, NH 03301-6500
(603) 271-3421
FAX (603) 271-1438

www.WildNH.com
e-mail: info@wildlife.nh.gov
TDD Access: Relay NH 1-800-735-2964

September 28, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire, 03301

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, authorize the New Hampshire Fish and Game Department (NHFGD) to accept and expend Five hundred ninety-five thousand eight hundred dollars (\$595,800) in federal funds from the United States Fish and Wildlife Service (USFWS) for the purpose of acquiring 410+/- acres in Brookfield, NH from the date of Joint Fiscal Committee and Governor and Council approvals through June 30, 2016. 100% Federal Funds.

Funds to be budgeted as follows:

020-07500-21550000 Wildlife Habitat Conservation – FY 2016

Class		Current Budget	Change	Revised Budget
010-500100	PERSONAL SERVICES - PERMANANT	\$41,808	\$0	\$41,808
020-500200	CURRENT EXPENSES	1,000	0	1,000
030-500311	EQUIPMENT	1,000	0	1,000
033-509033	LAND ACQUISITIONS AND EASEMENTS	100,000	595,800	695,800
041-500801	AUDIT FUND SET ASIDE	589	0	589
049-584902	TRANSFERS TO OTHER STATE AGENCIES	35,000	0	35,000
060-500601	BENEFITS	16,432	0	16,432
070-500704	IN STATE TRAVEL	250	0	250
073-500578	GRANTS NON FEDERAL	20,000	0	20,000
080-500710	OUT OF STATE TRAVEL	2,000	0	2,000
217-502682	INTER-AGENCY PAYMENTS	15,000	0	15,000
304-501593	RESEARCH AND MANAGEMENT	194,235	0	194,235
305-500845	HABITAT ACQUISITION & MANAGEMENT	50,000	0	50,000
Total Expenses		\$477,314	\$595,800	\$1,073,114

Source of Funds:

000-404705	Federal Funds	\$288,807	\$595,800	\$884,607
001-403555	Transfers from other Agencies	53,302	0	53,302
008-405234	Agency Income	135,205	0	135,205
Total Revenues		\$477,314	\$595,800	\$1,073,114

REGION 1

629B Main Street
Lancaster, NH 03584-3612
(603) 788-3164
FAX (603) 788-4823
email: reg1@wildlife.nh.gov

REGION 2

PO Box 417
New Hampton, NH 03256
(603) 744-5470
FAX (603) 744-6302
email: reg2@wildlife.nh.gov

REGION 3

225 Main Street
Durham, NH 03824-4732
(603) 868-1095
FAX (603) 868-3305
email: reg3@wildlife.nh.gov

REGION 4

15 Ash Brook Court
Keene, NH 03431
(603) 352-9669
FAX (603) 352-8798
email: reg4@wildlife.nh.gov

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 28, 2015
Page 2 of 2

EXPLANATION

The Fish and Game Department proposes to purchase 410+/- acres in Brookfield from Charles and Ann Marie Robbins of Wakefield to be added to the 1,492 acre Ellis Hatch Wildlife Management Area. The land purchase price is \$525,000. The remaining funds will be used for associated transaction costs including survey, appraisal and title work. This acquisition is part of an effort to use Wildlife Restoration Program funds from the USFWS to expand the statewide wildlife management area system.

This purchase will increase the wildlife habitat diversity of the Ellis Hatch WMA and add to the area that will permanently be available to the public for hunting and fishing and other wildlife related recreational opportunities.

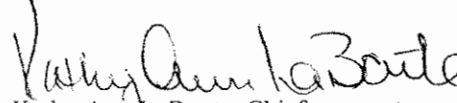
Class 041, Audit Fund Set-Aside, is not being budgeted as these funds are pass through funds only, no personnel costs will be incurred.

General Funds will not be requested to support this project.

Respectfully submitted,



Glenn Normandeau
Executive Director



Kathy Ann LaBonte, Chief
Business Division



United States Department of the Interior

FISH AND WILDLIFE SERVICE

300 Westgate Center Drive
Hadley, MA 01035-9589



In Reply Refer To:
FWS/Region 5/WSFR

WSFR – New Hampshire
F14AF01270

SEP 17 2015

Glenn Normandeau, Executive Director
Fish and Game Department
11 Hazen Drive
Concord, New Hampshire 03301
DUNS: 808590863

Dear Mr. Normandeau:

This letter constitutes approval of Revision 2 to Application for Federal Assistance (AFA) F14AF01270 titled, "State Wildlife Management Area Enhancement W-108-L-1" to increase the total award amount by \$794,400.00 effective September 8, 2015. The revised total amount is now \$1,154,400.00, of which the Federal share is \$865,800.00. The performance period for this award is September 1, 2014 through August 31, 2019.

Terms of Acceptance:

Acceptance of a financial assistance award (i.e., grant or cooperative agreement) from the Service carries with it the responsibility to be aware of and comply with the terms and conditions applicable to the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to and approved by the Service. Awards are subject to the terms and conditions incorporated into the notice of award either by direct citation or by reference to the following: Federal regulations; program legislation or regulation; and special award terms and conditions. The terms and conditions of Service awards flow down to subrecipients and contractors, unless a particular award term or condition specifically indicates otherwise. The Federal regulations applicable to Service recipients and their subrecipients and contractors are listed by recipient type in the **Service Financial Assistance Award Terms and Conditions** posted on the Internet at <http://www.fws.gov/grants/>. If you do not have access to the Internet and require a printed copy of the award terms and conditions, contact your Service Office.

Conditions:

- (1) The State of New Hampshire will identify in the deed, the Federal interest in the title of the real property and will simultaneously record with the deed a Notice of Grant Agreement which further describes the purpose of the acquisition and outlines the terms and conditions of the grant.
- (2) Revenue generated by the State from the sale of timber on federal aid lands during the grant period shall be treated as program income. Program income is subject to the Federal assistance regulations at 43 C.F.R. 12.65. Timber revenues realized after the grant period are required to be fully used in perpetuity for the administration of the applicable State fish and wildlife agency and may not be diverted to other purposes.

(3) Pre-agreement costs in the following amount are approved: NHFG personnel costs - \$2,100, associated agency indirect - \$400, survey - \$58,000, appraisal - \$4,700, appraisal review - \$1,600, environmental hazard assessment - \$1,500, and title work and insurance - \$2,500.

(4) This obligation of funds and any future obligations to this award are subject to 2 CFR 200 "Uniform Administrative Requirements, Cost Principles, and Audit Requirements of Federal Awards."

(5) Financial and Performance Reporting Requirements:

Annual interim financial and performance reports and final financial and performance reports are required under this award. The report periods and due dates under this award are:


Report:	Report Period End Date:	Report Due Date:
Interim financial and performance	09/30/2015	12/29/2015
Interim financial and performance	09/30/2016	12/29/2016
Interim financial and performance	09/30/2017	12/29/2017
Interim financial and performance	09/30/2018	12/29/2018
Final financial & performance	08/31/2019	11/29/2019

Recipients must use the SF 425, *Federal Financial Report* form for all financial reporting. This form is available at http://www.whitehouse.gov/omb/grants_forms/.

Performance reports must contain: (1) a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work; (2) a description of reasons why established goals were not met, if appropriate; and (3) any other pertinent information relevant to the project results. Please include the Service award number provided in the subject line of this letter on all reports.

Financial and performance reporting due dates may be extended one time only for a maximum of 90 days by the Service upon receipt of a written request addressed to the Chief, Division of Wildlife and Sport Fish Restoration (WSFR), and sent to FW5fareports@fws.gov, identifying the type of report to be extended, the requested revised due date, and a justification for the extension. The Chief, WSFR may approve an additional extension if justified by a catastrophe that significantly impairs the recipient's operations. Requests for reporting due date extensions must be received by the Service no later than one calendar day before the original reporting due date.

Sincerely,


for Colleen E. Sculley
Chief, Division of Wildlife
and Sport Fish Restoration

cc: Randy Curtis
Linda Shaw

Application for Federal Assistance SF-424

* 1. Type of Submission:

- Preapplication
- Application
- Changed/Corrected Application

* 2. Type of Application:

- New
- Continuation
- Revision

* If Revision, select appropriate letter(s):

-
- * Other (Specify)

* 3. Date Received:

4. Applicant Identifier:

5a. Federal Entity Identifier:

* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):

* c. Organizational DUNS:

d. Address:

* Street1:

Street2:

* City:

County:

* State:

Province:

* Country:

* Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

Title:

Organizational Affiliation:

Telephone Number:

Fax Number:

* Email:

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

A. State

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

* 10. Name of Federal Agency:

U.S. Department of Interior, Fish and Wildlife Service

11. Catalog of Federal Domestic Assistance Number:

15611

CFDA Title:

Wildlife Restoration Program

* 12. Funding Opportunity Number:

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Statewide / Brookfield, NH for this Revision (#2)

* 15. Descriptive Title of Applicant's Project:

NH W-108-L-1 State Wildlife Management Area Enhancement

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="595,800.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="198,600.00"/>
* 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="794,400.00"/>

* 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 in attachment.)

Yes No If "Yes", provide explanation and attach.

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:



New Hampshire Fish and Game Department

FIS 15 214

HEADQUARTERS: 11 Hazen Drive, Concord, NH 03301-6500
(603) 271-3421
FAX (603) 271-1438

www.WildNH.com
e-mail: info@wildlife.nh.gov
TDD Access: Relay NH 1-800-735-2964

September 28, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire, 03301

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, authorize the New Hampshire Fish and Game Department (NHFGD) to accept and expend one hundred seventy four thousand five hundred and seventy dollars (\$174,570.00) in federal funds from the National Oceanic and Atmospheric Administration (NOAA) for the purpose of replacing the boardwalk at the Great Bay National Estuarine Research Reserve Discovery Center from date of Joint Fiscal Committee and Governor and Council approvals through December 31, 2016. 100% Federal Funds.

unds to be budgeted as follows:

020-07500-22890000 Estuarine Research Reserve Program – FY 2016

<u>Class</u>		<u>Current Budget</u>	<u>Change</u>	<u>Revised Budget</u>
010-500100	PERSONAL SERVICES - PERMANANT	\$338,214	\$0	\$338,214
020-500200	CURRENT EXPENSES	36,272	0	36,272
022-500255	RENTS/LEASES	1,000	0	1,000
023-500291	HEAT,ELECTRICITY, WATER	19,000	0	19,000
030-500311	EQUIPMENT	2,000	0	2,000
041-500801	AUDIT FUND SET ASIDE	533	175	708
050-500109	PERSONAL SERVICES - TEMPORARY	51,000	0	51,000
060-500601	BENEFITS	178,983	0	178,983
070-500704	IN STATE TRAVEL	500	0	500
072-500572	GRANTS FEDERAL	176,342	174,395	350,737
080-500710	OUT OF STATE TRAVEL	10,000	0	10,000
102-500731	CONTRACT FOR PROGRAM SERVICES	8,000	0	8,000
103-502664	CONTRACT FOR OPERATIONAL SERVICES	7,000	0	7,000
	Total Expenses	\$828,844	\$174,570	\$1,003,414
Source of Funds				
000-404233	Federal Funds	\$517,233	\$174,570	\$691,803
005-402756	Agency Income	55,792	0	55,792
	Fish and Game Funds	255,819	0	255,819
	Total Revenues	\$828,844	\$174,570	\$1,003,414

REGION 1

629B Main Street
Lancaster, NH 03584-3612
(603) 788-3164
FAX (603) 788-4823
email: reg1@wildlife.nh.gov

REGION 2

PO Box 417
New Hampton, NH 03256
(603) 744-5470
FAX (603) 744-6302
email: reg2@wildlife.nh.gov

REGION 3

225 Main Street
Durham, NH 03824-4732
(603) 868-1095
FAX (603) 868-3305
email: reg3@wildlife.nh.gov

REGION 4

15 Ash Brook Court
Keene, NH 03431
(603) 352-9669
FAX (603) 352-8798
email: reg4@wildlife.nh.gov

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 28, 2015
Page 2 of 2

EXPLANATION

This proposal requests funds to complete the renovation of a 1,275 linear foot boardwalk at the Reserve's campus on the Greenland/Stratham border in southeast New Hampshire, and to enhance the interpretive opportunities offered on the boardwalk. The Great Bay Discovery Center opened as a visitor center and Reserve education headquarters in 1996. Four years before the building opened, in 1992, the Reserve constructed a boardwalk through the upland and marsh areas of the 60 acre, NHFGD owned site, to ensure that the public had immediate access to the estuary and unique coastal uplands. Annually, the Reserve receives over 15,000 visitors. Each year approximately 5,000 school children participate in the Reserve's spring and fall educational programs. Sixty thousand children have used the boardwalk during their 3-hour field trip since 1992. Although the boardwalk performed beautifully for 21 years, it is currently in poor condition, and without replacement or major renovations, it will become unsafe to use. Reserve staff have been working for three years with NHFGD and private non-profits to prepare a strategy for replacing the boardwalk.

The goal of this project is to complete the renovation of a boardwalk and to enhance the interpretive experience along that boardwalk at the Reserve's Discovery Center site. The objectives of the project are to a) remove the existing boardwalk; and b) construct a new one in the same foot print. Both objectives will be achieved in a way that minimizes disruption to the hundreds of school programs that are scheduled each year; minimizes impacts to the wetlands and surrounding habitat; incorporates climate considerations; and is as cost effective as possible. The Reserve was awarded \$133,125 in federal funding in 2014 and in 2015, the reserve was awarded an additional \$182,020 to complete the funding necessary to remove the existing boardwalk and build a new boardwalk in the existing footprint using helical piles. This funding will also support updated educational exhibits and new telescopes along the boardwalk to enhance the interpretive experience. Some of the costs of removal will be offset by an AmeriCorps crew that will be helping to remove the current structure. The project is supported by the local conservation commission and the local river advisory council. The wetlands permit is pending at the Department of Environmental Services and the project has gone to bid. The project is funded appropriately, has been designed and estimates have been gathered, and is ready to be implemented.

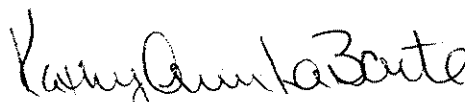
The total amount of the grant is not being budgeted as a small portion of grant funds are being used for in-house labor costs of the project. These additional funds are currently budgeted within another accounting unit in the operating budget.

General Funds will not be requested to support this project.

Respectfully submitted,



Glenn Normandeau
Executive Director



Kathy Ann LaBonte, Chief
Business Division

U. S. DEPARTMENT OF COMMERCE

GRANT COOPERATIVE AGREEMENT

FINANCIAL ASSISTANCE AWARD

AWARD NUMBER
NA15NOS4200049

RECIPIENT NAME New Hampshire Fish and Game Department

STREET ADDRESS 11 Hazen Drive

FEDERAL SHARE OF COST \$182,020.00

CITY, STATE, ZIP CODE Concord NH 03301

RECIPIENT SHARE OF COST \$78,009.00

AWARD PERIOD 07/01/2015-12/31/2016

TOTAL ESTIMATED COST \$260,029.00

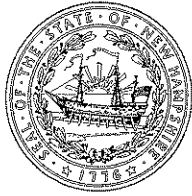
AUTHORITY 16 U.S.C. 1461 et seq.

CFDA NO. AND PROJECT TITLE
11.420 Great Bay Discovery Center Boardwalk Renovation (Phase 2)

This award offer approved by the Grants Officer constitutes an obligation of Federal funding. By accepting this award offer, the Recipient agrees to comply with the award Terms and Conditions checked below. If this was a paper issued award offer, please send two signed documents to the Grants Officer and retain one set of signed award documents for your files. If this award offer is not accepted without modification within 30 days of receipt, the Grants Officer may unilaterally withdraw this award offer and de-obligate the funds.

- Department of Commerce Financial Assistance Standard Terms and Conditions
- Government Wide Research Terms and Conditions
- Bureau Specific Administrative Standard Award Conditions
- Award Specific Special Award Conditions
- 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
- 15 CFR Part 24, Uniform Administrative Requirements for Grants and Agreements to States and Local Governments
- OMB Circular A-21, Cost Principles for Educational Institutions
- OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments
- OMB Circular A-122, Cost Principles for Non-Profit Organizations
- 48 CFR Part 31, Contract Cost Principles and Procedures
- OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations
- Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements
REF: 79 FR 75871 (December 19, 2014)
- Other(s)
This award is being made under competitive Federal Funding Opportunity Number NOAA-NOS-OCRM-2015-2004232 posted at Grants.gov on 11/07/2014. To incorporate 2 CFR Part 200 and Pre-Award (December 2014).

SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER		TITLE	DATE
Marianne Eggers		Grants Officer	04/22/2015
TYPE NAME AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL		TITLE	DATE
Mr. Randy Curtis			05/13/2015



STATE OF NEW HAMPSHIRE
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF COMMUNITY BASED CARE SERVICES

Bureau of Drug and Alcohol Services

Nicholas A. Toumpas
Commissioner

Kathleen A. Dunn
Associate
Commissioner

105 PLEASANT STREET, CONCORD, NH 03301
603-271-6110 1-800-804-0909

Fax: 603-271-6105 TDD Access: 1-800-735-2964 www.dhhs.nh.gov

September 28, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court, and

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Executive Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, authorize the Department of Health and Human Services, Office of Medicaid Business and Policy, Bureau of Drug & Alcohol Services to accept and expend New Hampshire Partnerships for Success Initiative (PFS2) federal funds from the Substance Abuse and Mental Health Services Administration in the amount of \$2,231,951 effective upon date of Fiscal Committee and Governor and Executive Council approval, through September 29, 2016, and further authorize the funds to be allocated as follows:

05-95-49-491510-24070000 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVCS, HHS: DIV OF COMM BASED CARE SVC, BUREAU OF DRUG & ALCOHOL SVCS, PFS2 GRANT

Table with 5 columns: Class/Object, Class Title, Current Authorized Budget, Increase/(Decrease) Amount, Revised Modified Budget. Rows include SFY 2016, 000-400146 Federal Funds, 020-500200 Current Expenses, 041-500801 Audit Fund Set Aside, 070-500704 In-State Travel, 080-500710 Out-of-State Travel, 102-500731 Contracts for Program Svcs, and Total Revenue/Expense.

05-95-49-491510-24070000 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVCS, HHS: DIV OF COMM BASED CARE SVC, BUREAU OF DRUG & ALCOHOL SVCS, PFS2 GRANT

Class/Object	Class Title	Current Authorized Budget	Increase/(Decrease) Amount	Revised Modified Budget
SFY 2017				
000-400146	Federal Funds	\$0	\$557,925	\$557,925
Total Revenue		\$0	\$557,925	\$557,925
020-500200	Current Expenses	\$0	\$329	\$329
041-500801	Audit Fund Set Aside	\$0	\$618	\$618
070-500704	In-State Travel	\$0	\$200	\$200
080-500710	Out-of-State Travel	\$0	\$634	\$634
102-500731	Contracts for Program Svcs	\$0	\$556,144	\$556,144
Total Expense		\$0	\$557,925	\$557,925

EXPLANATION

The Department of Health and Human Services, Division of Community Based Care Services, Bureau of Drug & Alcohol Services seeks approval to accept and expend New Hampshire Partnerships for Success Initiative funds in the amount of \$2,231,951.00 from the Substance Abuse and Mental Health Services Administration. This request represents year 1 of a multi-year grant (September 30, 2015 – September 29, 2020). This grant does not have a matching funds requirement. This request represents ¾ of Grant year 1 in SFY 16 and SFY 17 represents the remaining Year 1 grant funds. A copy of the grant award is attached.

The New Hampshire Partnerships for Success Initiative will allow the Bureau of Drug & Alcohol Services to leverage the state's existing prevention system, its resources and capacities to effect change in priority substance abuse areas among high need and high risk populations in the communities where those populations reside. Specifically, this grant seeks to 1) prevent and reduce underage and high risk drinking and prescription drug misuse among persons aged 12 to 20; and 2) prevent and reduce underage and high risk drinking, prescription drug misuse and abuse, particularly prescription opioid misuse and heroin among persons aged 18 to 25.

Funds will be used for:

- Class 020 Related program costs associated with the grant.
- Class 041 Audit fund set aside expense.
- Class 070 Travel around the State for program and Stakeholder meetings.
- Class 080 Travel to required grant meetings.

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court, and
Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 28, 2015
Page 3

Class 102 Contracts to support a number of sub recipients for direct prevention services specifically designed to impact the high-risk individuals identified above. In addition funds will help support a centralized contract providing training and technical assistance to sub recipients to ensure the standards are met for evidence-based practices, quality of programming, and evaluation. Funds will be used to support the continuation of the State Epidemiology Outcome Workgroup that works to serve the Partnership for Success grant. Lastly a portion of these funds will be used to support the maintenance and hosting of the New Hampshire Web Infrastructure Prevention Performance Data System in the collection of process measures at community sub recipient level on 100% of numbers served, evidence-based programs, policies, and/or practices implemented.

Area served: Statewide.

Source of Funds: 100% Federal Substance Abuse and Mental Health Services Administration.

In the event that federal funds become no longer available, general funds will not be requested to support the program expenditures.

Respectfully submitted,



Kathleen A. Dunn, MPH
Associate Commissioner

Approved by:



Nicholas A. Toumpas
Commissioner

Enclosures

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court, and
Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 28, 2015
Page 4

Division of Community Based Care Services
Bureau of Drug & Alcohol Services

New Hampshire Partnership for Success Initiative (PFS2)

Fiscal Situation
05-95-49-491510-24070000

FFY 2016 Grant Award	\$2,472,608.00
Allocated Cost Adjustment	(\$240,657.00)
Available to Accept	\$2,231,951.00
Amount of this Request AU 24070000	
SFY 2016	\$1,674,026.00
SFY 2017	<u>\$557,925.00</u>
Total	\$2,231,951.00



Notice of Award

SPF-PFS

Issue Date: 06/18/2015

Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention

Grant Number: 1U79SP020796-01
FAIN: SP020796

Program Director:
Valerie Morgan

Project Title: New Hampshire Partnership for Success Initiative (PFS2)

Grantee Address	Business Address
BUREAU OF DRUG AND ALCOHOL SERVICES Dept of Health and Human Svcs 105 Pleasant Street Main Building Concord, NH 033013852	Director NH DHHS, Bureau of Drug and Alc Svcs 105 Pleasant Street Main Building Concord, NH 03301

Budget Period: 09/30/2015 – 09/29/2016
Project Period: 09/30/2015 – 09/29/2020

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$2,472,608 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to BUREAU OF DRUG AND ALCOHOL SERVICES in support of the above referenced project. This award is pursuant to the authority of Section 516 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,

Eileen Bermudez
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 1U79SP020796-01

Award Calculation (U.S. Dollars)

Salaries and Wages	\$58,487
Fringe Benefits	\$28,492
Personnel Costs (Subtotal)	\$86,979
Supplies	\$1,315
Consortium/Contractual Cost	\$2,224,579
Travel Costs	\$3,584
Other	\$156,151
Direct Cost	\$2,472,608
Approved Budget	\$2,472,608
Federal Share	\$2,472,608
Cumulative Prior Awards for this Budget Period	\$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$2,472,608

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$2,472,608
2	\$2,472,608
3	\$2,472,608
4	\$2,472,608
5	\$2,472,608

*Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

Fiscal Information:

CFDA Number: 93.243
 EIN: 1102600618A1
 Document Number: 15SP20796A
 Fiscal Year: 2015

IC	CAN	Amount
SP	C96V014	\$2,472,608

IC	CAN	2015	2016	2017	2018	2019
SP	C96V014	\$2,472,608	\$2,472,608	\$2,472,608	\$2,472,608	\$2,472,608

SP Administrative Data:

PCC: PFS 2015 / OC: 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 1U79SP020796-01

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning

fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 1U79SP020796-01

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Additional Costs

SECTION IV – SP Special Terms and Conditions – 1U79SP020796-01

REMARKS:

As a reminder all SAMHSA official notifications will be electronically mailed to your organization's Business Official address as identified in the HHS Checklist, Part C.

This award reflects approval of the budget submitted on March 9, 2015 as part of the application.

SPECIAL TERM(s) OF AWARD:

DISPARITY IMPACT STATEMENT (DIS)

By November 30, 2015, you must:

Submit an electronic copy of a disparity impact statement to the Government Project Officer (GPO) and Grants Management Specialist (GMS) as identified under Contacts on this notice of award. The disparity impact statement should be consistent with information in your application regarding access, *service use and outcomes for the program and include three components as described below. Questions about the disparity impact statement should be directed to your GPO. Examples of disparity impact statements can be found on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/disparity-impact-statement>.

*Service use is inclusive of treatment services, prevention services as well as outreach, engagement, training and/or technical assistance activities.

The disparity impact statement, in response to the Special Condition of Award, consists of three components:

1. Proposed number of individuals to be [choose either: served, reached or trained] by subpopulations in the grant implementation area should be provided in a table that covers the entire grant period. The disparate population(s) should be identified in a narrative that includes a description of the population and rationale for how the determination was made.

2. A quality improvement plan for how you will use your program (GPRA) data on access, use and outcomes to monitor and manage program outcomes by race, ethnicity and LGBT status, when possible. The quality improvement plan should include strategies for how processes and/or programmatic adjustments will support efforts to reduce disparities for the identified sub-populations.

3. The quality improvement plan should include methods for the development and implementation of policies and procedures to ensure adherence to the Enhanced Culturally and Linguistically Appropriate Services (CLAS) Standards and the provision of effective care and services that are responsive to:

- a. Diverse cultural health beliefs and practices;
- b. Preferred languages; and
- c. Health literacy and other communication needs of all sub-populations within the proposed geographic region.

PROGRAMMATIC TERMS OF AWARD

1. Eighty-five percent of the total grant award per year (direct and indirect) less SEOW dollars must be used for community level organization prevention sub-recipient contracts. States may use up to 15 percent of the total award per year (direct and indirect) for administrative purposes. These funds may also be used to enhance the state's prevention data infrastructure and the capacity to collect and analyze prevention data.

2. Seventy percent of the total grant award per year (direct and indirect) less SEOW dollars must be used for tribal community level organization prevention sub-recipient contracts. Tribal organizations and Tribal consortia must set aside 70 percent of funds for program implementation. Tribes and Tribal consortia may use 30 percent of the total grant award per year (direct and indirect) for administrative purposes. These funds may also be used to enhance the tribe's prevention data infrastructure and the capacity to collect and analyze prevention data.

3. The grantee is required to confirm that the epidemiological outcomes workgroup (SEOW) activities, including the grantee wide needs assessment, will be funded at the following levels: \$150,000 for States, \$75,000 for Pacific Jurisdictions and territories, and \$50,000 for tribal organizations. Grantees must subtract the SEOW funds listed above from the total award per year and split the balance between the 85/15 (States) or 70/30 (Tribes).

Tier 2 State Example:

Grant Award \$1,648,188 - \$150,000 SEOW = \$1,498,188. Grantees then divide remaining funds of \$1,498,188 into community and administrative allotments. Eighty-five percent = \$1,273,459 and 15 percent = \$224,728.

Tier 2 Tribal example:

Grant Award \$837,583 - \$50,000 SEOW = \$787,583. Grantees then divide remaining funds of \$787,583 into community and administrative allotments. 70 percent = \$551,308 and 30 percent = \$236,274.

4. **No more than 20 percent of the total grant award (less SEOW funds) may be used for evaluation and data collection.** No more than 20 percent of administrative and community dollars can be spent toward evaluation and data collection.

State Example:

Administrative - \$224,728 x 20 percent = \$44,945 may be used for evaluation and data collection.
Community - \$1,273,459 x 20 percent = \$254,691 may be used for evaluation and data collection.

Tribal Example:

Administrative - \$236,274 x 20 percent = \$47,254 may be used for evaluation and data collection.
Community - \$551,308 x 20 percent = \$110,261 may be used for evaluation and data collection.

SPECIAL CONDITIONS OF AWARD:

Programmatic Special Conditions of Award

Special Condition for Participation in the Cross Site for PFS 2015

All SAMHSA grantees are required to participate in the PFS cross site evaluation. This includes using the cross site evaluation common measures and instruments in the collection and reporting of certain data so that SAMHSA can monitor performance, evaluate its programs and meet its obligations under the Government Performance and Reporting Modernization Act of 2010 (GPRAMA). The collection of these data will enable CSAP to report on the National Outcome Measures (NOMs) and other priority indicators, and help identify best practices in terms of improved outcomes and cost, which SAMHSA/CSAP has defined as key priority areas relating to the prevention of substance use.

Survey Data Response Rate Special Condition

In an effort to improve the validity and reliability of data required by SAMHSA for discretionary grant programs, **SAMHSA is requiring grantees with a state/tribal and /or community survey response rate of less than 70 percent to receive technical assistance***. The TA will be designed to assist states/tribes in improving their survey response rates, and in turn, to improve their data overall.

**SAMHSA document, May 1998: -- "How to Write and Submit Requests for OMB Review and Approval Under the Paperwork Reduction Act and 5 CFR 1320", p19, first sentence: "for most data collections, OMB requires that response rates be at least 75-80%."*

PFS 2015 Recipients are to meet the following milestones:

By October 30, 2015, Grantees must contact their Government Project Officer with the actual response rates and the challenges they face in obtaining a response rate of 70 percent or higher for both community and state level surveys. Response rates should be based on each individual location where the survey is administered (i.e. if a grantee has 10 communities and 7 have a response rate of 70 percent but 3 have a response rate of 50 percent, the grantee is required to obtain technical assistance to improve the response rates in the 3 communities at 50 percent.)

By November 27, 2015, if the survey response rate is less than 70 percent or unknown, grantees must work with their Government Project Officer to obtain technical assistance in developing a plan to increase survey response rates.

By December 31, 2015, grantees are required to submit one evaluation plan containing a sampling methodology and, if rates are less than 70 percent, a plan to increase response rates to 70 percent.

SAMHSA/CSAP will provide grantees an evaluation plan checklist containing criteria to be considered in developing their evaluation plans.

STANDARD TERMS OF AWARD:

Refer to the following SAMHSA website for Standard Terms of Award:
<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions> **(COOPERATIVE AGREEMENT)**

Key staff (or key staff positions, if staff has not been selected) are listed below:

Valerie Morgan, Program Director @ 15% level of effort
Jill Burke, Project Coordinator @75% level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

REPORTING REQUIREMENTS:

Submission of a Programmatic Quarterly Report is due no later than the dates as follows:

1st Report - January 31, 2016
2nd Report - April 30, 2016
3rd Report - July 31, 2016
4th Report - October 31, 2016

**Please submit your Programmatic Quarterly Report to
DGMPProgressReports@samhsa.hhs.gov and copy your Program Official.
(HARD COPIES SUBMISSION IS NOT REQUIRED)**

Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

It is essential that the Grant Number be included in the SUBJECT line of the email.

CONTACTS:

Andrea Harris, Program Official
Phone: (240) 276-2441 Email: andrea.harris@samhsa.hhs.gov Fax: (240) 276-2595

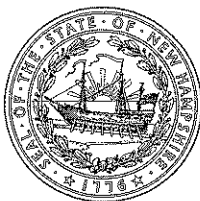
Tomara Baker, Grants Specialist
Phone: (240) 276-1407 Email: Tomara.Baker@samhsa.hhs.gov

ATTORNEY GENERAL
DEPARTMENT OF JUSTICE

33 CAPITOL STREET
CONCORD, NEW HAMPSHIRE 03301-6397

FIS 15 216

JOSEPH A. FOSTER
ATTORNEY GENERAL



ANN M. RICE
DEPUTY ATTORNEY GENERAL

September 28, 2015

Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Her Excellency, Governor Margaret Wood Hassan
And the Honorable Council
State House
Concord New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, authorize the Department of Justice (DOJ) to accept and expend additional grant funds of \$5,940,633 from the Federal Fiscal Year 2015 US Department of Justice, Office for Victims of Crime to support services for victims of crime and to provide training and resources to public and non-profit agencies providing victim services upon approval of the Fiscal Committee and Governor and Executive Council through June 30, 2017. 100% Federal Funds.

Funds are to be budgeted in 02-20-20-201510-5021000, Department of Justice, Grants Administration, titled Victims of Crime Act (Job #20VOC15A) as follows:

Class/Expense	Class Title	Current SFY16 Budget	Increase Amount	Revised SFY16 Budget
041-500801	Audit Fund Set Aside	\$2,500	\$5,941	\$8,441
072-500575	Grants-Federal	\$3,048,885	\$5,934,692	\$8,983,577
Total		\$3,051,385	\$5,940,633	\$8,992,018

Source of Funds

000-404534	Federal Funds	<u>\$8,992,018</u>
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Class 040, indirect costs, is not allowed per 2 CFR Part 200 on pass-through funds.

EXPLANATION

The Victim of Crime Act (VOCA) grant is awarded to provide direct services to New Hampshire victims of crime. The Department of Justice (DOJ) originally budgeted, in SFY 2016, \$2,500,000 in anticipation of the normally consistent VOCA grant. Recent changes to federal policies and procedures regarding the Federal Fiscal Year 2015 grant, however, resulted in an increase of \$5,940,633 over the expected grant award.

The VOCA funds must be used for the provision of direct services to crime victims, and priority must be given to victims of sexual assault, spousal abuse, or child abuse. In addition, the increased funding must be targeted primarily to previously underserved populations of victims of violent crime. The Department will seek input from current providers of victim services and others who regularly come into contact with crime victims in order to identify those underserved populations and needed services, after which it anticipates issuing requests for proposals for program services to meet those needs.

Federal award funds are budgeted to support the activities as follows:

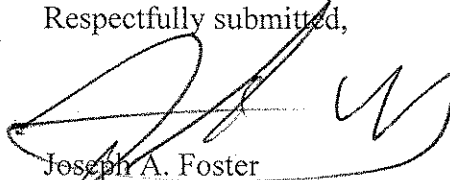
041-500801: Audit fund set aside.

072-500575: Federal grants to be awarded to sub recipient organizations to support VOCA program activities.

In the event that federal funds become no longer available, general funds will not be requested to support this program.

Please feel free to contact me if you have any questions. Your consideration is greatly appreciated.

Respectfully submitted,



Joseph A. Foster
Attorney General

JAF/jeb

#1275540

Department of Justice
GRANTS FISCAL SITUATION FISCAL YEAR 2016
02-20-20-201510-50210000 Victims of Crime Act

Total Federal Authorization	\$ 8,992,018
Less Expenditures thru 6/30/15	<u>\$ -</u>
Remaining Authorizatin to Budget	\$ 8,992,018

Less Current FY16 Budget Authorization	\$ 3,051,385
Total Available for Budgeting	<u>\$ 5,940,633</u>

Available to Budget at Later Date	\$ -
REQUESTED ACTION	<u>\$ 5,940,633</u>

Grant Award Number	Award Amount	Expenses to 6/30/15	Balance
2015-VA-GX-0007	\$ 8,440,633	\$ -	\$ 8,440,633
Prior Year Grant			\$ 551,385
Total			<u>\$ 8,992,018</u>



Department of Justice
Office of Justice Programs
Office for Victims of Crime

Grant

PAGE 1 OF 6

1. RECIPIENT NAME AND ADDRESS (Including Zip Code) New Hampshire Department of Justice 33 Capitol Street Concord, NH 03301-6397		4. AWARD NUMBER: 2015-VA-GX-0007	
		5. PROJECT PERIOD: FROM 10/01/2014 TO 09/30/2018 BUDGET PERIOD: FROM 10/01/2014 TO 09/30/2018	
2a. GRANTEE IRS/VENDOR NO. 026002618		6. AWARD DATE 03/25/2015	7. ACTION Initial
2b. GRANTEE DUNS NO. 808591127		8. SUPPLEMENT NUMBER 00	
3. PROJECT TITLE OVCFY 15 VOCA Victim Assistance Formula		9. PREVIOUS AWARD AMOUNT \$ 0	
		10. AMOUNT OF THIS AWARD \$ 8,440,633	
		11. TOTAL AWARD \$ 8,440,633	
12. SPECIAL CONDITIONS THE ABOVE GRANT PROJECT IS APPROVED SUBJECT TO SUCH CONDITIONS OR LIMITATIONS AS ARE SET FORTH ON THE ATTACHED PAGE(S).			
13. STATUTORY AUTHORITY FOR GRANT This project is supported under 42 U.S.C. § 10603 (a)			
14. CATALOG OF DOMESTIC FEDERAL ASSISTANCE (CFDA Number) 16.575 - CRIME VICTIM ASSISTANCE			
15. METHOD OF PAYMENT OPRS			
AGENCY APPROVAL		GRANTEE ACCEPTANCE	
16. TYPED NAME AND TITLE OF APPROVING OFFICIAL Joye E. Frost Director		18. TYPED NAME AND TITLE OF AUTHORIZED GRANTEE OFFICIAL Kathleen Carr Director of Administration	
17. SIGNATURE OF APPROVING OFFICIAL 		19. SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL 	19A. DATE 9/10/15
20. ACCOUNTING CLASSIFICATION CODES FISCAL FUND BUD. DIV. YEAR CODE ACT. OFC. REG. SUB. POMS AMOUNT X G V2 40 00 00 8440633		21. PV2PGT0040	
AGENCY USE ONLY			

OJP FORM 4000/2 (REV. 5-87) PREVIOUS EDITIONS ARE OBSOLETE.

OJP FORM 4000/2 (REV. 4-88)



Department of Justice
Office of Justice Programs
Office for Victims of Crime

AWARD CONTINUATION
SHEET
Grant

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PROJECT NUMBER 2015-VA-GX-0007

AWARD DATE 08/23/2015

SPECIAL CONDITIONS

1. Applicability of Part 200 Uniform Requirements

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 2 C.F.R. Part 200, as adopted and supplemented by the Department of Justice (DOJ) in 2 C.F.R. Part 2800 (the "Part 200 Uniform Requirements") apply to this 2015 award from the Office of Justice Programs (OJP). For this 2015 award, the Part 200 Uniform Requirements, which were first adopted by DOJ on December 26, 2014, supersede, among other things, the provisions of 28 C.F.R. Parts 66 and 70, as well as those of 2 C.F.R. Parts 215, 220, 225, and 230.

If this 2015 award supplements funds previously awarded by OJP under the same award number, the Part 200 Uniform Requirements apply with respect to all award funds (whether derived from the initial award or a supplemental award) that are obligated on or after the acceptance date of this 2015 award.

Potential availability of grace period for procurement standards: Under the Part 200 Uniform Requirements, a time-limited grace period may be available under certain circumstances to allow for transition from policies and procedures that complied with previous standards for procurements under federal awards to policies and procedures that comply with the new standards (that is, to those at 2 C.F.R. 200.317 through 200.326).

For more information on the Part 200 Uniform Requirements, including information regarding the potentially-available grace period described above, see the Office of Justice Programs (OJP) website at <http://ojp.gov/funding/Part200UniformRequirements.htm>.

In the event that an award-related question arises from documents or other materials prepared or distributed by OJP that may appear to conflict with, or differ in some way from, the provisions of the Part 200 Uniform Requirements, the recipient is to contact OJP promptly for clarification.

2. The recipient agrees to comply with the Department of Justice Grants Financial Guide as posted on the OJP website (currently, the "2015 DOJ Grants Financial Guide").
3. The recipient acknowledges that failure to submit an acceptable Equal Employment Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section 42.302) that is approved by the Office for Civil Rights is a violation of the Standard Assurances executed by the recipient, and may result in suspension of funding until such time as the recipient is in compliance, or termination of the award.
4. The recipient understands and agrees that OJP may withhold award funds, or may impose other related requirements, if the recipient does not satisfactorily and promptly address outstanding issues from audits required by the Part 200 Uniform Requirements (or by the terms of this award), or other outstanding issues that arise in connection with audits, investigations, or reviews of DOJ awards.
5. Recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of OJP.
6. The recipient and any subrecipients must promptly refer to the DOJ OIG any credible evidence that a principal, employee, agent, subrecipient, contractor, subcontractor, or other person has -- (1) submitted a claim for award funds that violates the False Claims Act; or (2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving award funds. Potential fraud, waste, abuse, or misconduct should be reported to the OIG by - mail: Office of the Inspector General U.S. Department of Justice Investigations Division 950 Pennsylvania Avenue, N.W. Room 4706 Washington, DC 20530 e-mail: oig.hotline@usdoj.gov hotline: (contact information in English and Spanish): (800) 869-4499 or hotline fax: (202) 616-9881 Additional information is available from the DOJ OIG website at www.usdoj.gov/oig



Department of Justice
Office of Justice Programs
Office for Victims of Crime

**AWARD CONTINUATION
SHEET
Grant**

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PROJECT NUMBER 2015-VA-GX-0007

AWARD DATE 08/23/2015

SPECIAL CONDITIONS

7. Restrictions and certifications regarding non-disclosure agreements and related matters

No recipient or subrecipient under this award, or entity that receives a contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts, or purports to prohibit or restrict, the reporting (in accordance with law) of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information.

The foregoing is not intended, and shall not be understood by the agency making this award, to contravene requirements applicable to Standard Form 312 (which relates to classified information), Form 4414 (which relates to sensitive compartmented information), or any other form issued by a federal department or agency governing the nondisclosure of classified information.

1. In accepting this award, the recipient --

a. represents that it neither requires nor has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

b. certifies that, if it learns or is notified that it is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds, will provide prompt written notification to the agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

2. If the recipient does or is authorized to make subawards or contracts under this award --

a. it represents that --

(1) it has determined that no other entity that the recipient's application proposes may or will receive award funds (whether through a subaward, contract, or subcontract) either requires or has required internal confidentiality agreements or statements from employees or contractors that currently prohibit or otherwise currently restrict (or purport to prohibit or restrict) employees or contractors from reporting waste, fraud, or abuse as described above; and

(2) it has made appropriate inquiry, or otherwise has an adequate factual basis, to support this representation; and

b. it certifies that, if it learns or is notified that any subrecipient, contractor, or subcontractor entity that receives funds under this award is or has been requiring its employees or contractors to execute agreements or statements that prohibit or otherwise restrict (or purport to prohibit or restrict), reporting of waste, fraud, or abuse as described above, it will immediately stop any further obligations of award funds to or by that entity, will provide prompt written notification to the agency making this award, and will resume (or permit resumption of) such obligations only if expressly authorized to do so by that agency.

8. Recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of any contract or subaward to either the Association of Community Organizations for Reform Now (ACORN) or its subsidiaries, without the express prior written approval of OJP.

9. The recipient agrees to comply with any additional requirements that may be imposed during the grant performance period if the agency determines that the recipient is a high-risk grantee. Cf. 28 C.F.R. parts 66, 70.



Department of Justice
Office of Justice Programs
Office for Victims of Crime

**AWARD CONTINUATION
SHEET
Grant**

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PROJECT NUMBER 2015-VA-GX-0007

AWARD DATE 08/25/2015

SPECIAL CONDITIONS

10. The recipient agrees to comply with applicable requirements regarding registration with the System for Award Management (SAM) (or with a successor government-wide system officially designated by OMB and OJP). The recipient also agrees to comply with applicable restrictions on subawards to first-tier subrecipients that do not acquire and provide a Data Universal Numbering System (DUNS) number. The details of recipient obligations are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/sam.htm> (Award condition: Registration with the System for Award Management and Universal Identifier Requirements), and are incorporated by reference here. This special condition does not apply to an award to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).
11. Pursuant to Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving," 74 Fed. Reg. 51225 (October 1, 2009), the Department encourages recipients and sub-recipients to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this grant, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.
12. The recipient agrees to comply with all applicable laws, regulations, policies, and guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences, meetings, trainings, and other events, including the provision of food and/or beverages at such events, and costs of attendance at such events. Information on rules applicable to this award appears in the DOJ Grants Financial Guide (currently, as section 3.10 of "Postaward Requirements" in the "2015 DOJ Grants Financial Guide").
13. The recipient understands and agrees that any training or training materials developed or delivered with funding provided under this award must adhere to the OJP Training Guiding Principles for Grantees and Subgrantees, available at <http://www.ojp.usdoj.gov/funding/ojptrainingguidingprinciples.htm>.
14. The recipient agrees that if it currently has an open award of federal funds or if it receives an award of federal funds other than this OJP award, and those award funds have been, are being, or are to be used, in whole or in part, for one or more of the identical cost items for which funds are being provided under this OJP award, the recipient will promptly notify, in writing, the grant manager for this OJP award, and, if so requested by OJP, seek a budget modification or change-of-project-scope grant adjustment notice (GAN) to eliminate any inappropriate duplication of funding.
15. The recipient understands and agrees that award funds may not be used to discriminate against or denigrate the religious or moral beliefs of students who participate in programs for which financial assistance is provided from those funds, or of the parents or legal guardians of such students.
16. The recipient understands and agrees that - (a) No award funds may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography, and (b) Nothing in subsection (a) limits the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.
17. A recipient that is eligible under the Part 200 Uniform Requirements to use the "de minimis" indirect cost rate described in 2 C.F.R. 200.414(c), and that elects to use the "de minimis" indirect cost rate, must advise OJP in writing of both its eligibility and its election, and must comply with all associated requirements in the Part 200 Uniform Requirements. The "de minimis" rate may be applied only to modified total direct costs (MTDC).
18. The recipient must collect, maintain, and provide to OJP, data that measure the performance and effectiveness of activities under this award, in the manner, and within the timeframes, specified in the program solicitation, or as otherwise specified by OJP. Data collection supports compliance with the Government Performance and Results Act (GPRA) and the GPRA Modernization Act, and other applicable laws.



Department of Justice
Office of Justice Programs
Office for Victims of Crime

**AWARD CONTINUATION
SHEET**
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PROJECT NUMBER 2015-VA-GX-0007

AWARD DATE 08/25/2015

SPECIAL CONDITIONS

19. The Grantee authorizes Office for Victims of Crime (OVC) and/or the Office of the Chief Financial Officer (OCFO), and its representatives, access to and the right to examine all records, books, paper or documents related to the VOCA grant. The State will further ensure that all VOCA subgrantees will authorize representatives of OVC and OCFO access to and the right to examine all records, books, paper or documents related to the VOCA grant.
20. The Grantee agrees to submit a Subgrant Award Report (SAR) to OVC for each subgrantee of the VOCA victim assistance funds, within ninety (90) days of awarding funds to subgrantees. States and territories are required to submit this information through the automated system.
21. **VOCA Requirements**
The recipient assures that the State and its subrecipients will comply with the conditions of the Victims of Crime Act (VOCA) of 1984, sections 1404(a)(2), and 1404(b)(1) and (2), 42 U.S.C. 10603(a)(2) and (b)(1) and (2) (and the applicable program guidelines and regulations), as required. Specifically, the State certifies that funds under this award will:
 - a) be awarded only to eligible victim assistance organizations, 42 U.S.C. 10603(a)(2);
 - b) not be used to supplant State and local public funds that would otherwise be available for crime victim assistance, 42 U.S.C. 10603(a)(2); and
 - c) be allocated in accordance with program guidelines or regulations implementing 42 U.S.C. 10603(a)(2)(A) and 42 U.S.C. 10603(a)(2)(B) to, at a minimum, assist victims in the following categories: sexual assault, child abuse, domestic violence, and underserved victims of violent crimes as identified by the State.
22. **Demographic Data**
The recipient assures that its subrecipients will collect and maintain information on race, sex, national origin, age, and disability of victims receiving assistance, where such information is voluntarily furnished by the victim.
23. **Discrimination Findings**
The recipient assures that in the event that a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the ground of race, religion, national origin, sex, or disability against a recipient of victim assistance formula funds under this award, the recipient will forward a copy of the findings to the Office for Civil Rights of OJP.
24. The recipient understands that all OJP awards are subject to the National Environmental Policy Act (NEPA, 42 U.S.C. section 4321 et seq.) and other related Federal laws (including the National Historic Preservation Act), if applicable. The recipient agrees to assist OJP in carrying out its responsibilities under NEPA and related laws, if the recipient plans to use VOCA funds (directly or through subaward or contract) to undertake any activity that triggers these requirements, such as renovation or construction. (See 28 C.F.R. Part 61, App. D.) The recipient also agrees to comply with all Federal, State, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award.
25. The recipient agrees to ensure that at least one key grantee official attends the annual VOCA National Training Conference. Any recipient unable to attend must get prior approval by OVC in writing.



Department of Justice
Office of Justice Programs
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PROJECT NUMBER 2015-VA-GX-0007

AWARD DATE 08/25/2015

SPECIAL CONDITIONS

26. The recipient agrees to comply with applicable requirements to report first-tier subawards of \$25,000 or more and, in certain circumstances, to report the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients of award funds. Such data will be submitted to the FFATA Subaward Reporting System (FSRS). The details of recipient obligations, which derive from the Federal Funding Accountability and Transparency Act of 2006 (FFATA), are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/flata.htm> (Award condition: Reporting Subawards and Executive Compensation), and are incorporated by reference here. This condition, and its reporting requirement, does not apply to grant awards made to an individual who received the award as a natural person (i.e., unrelated to any business or non-profit organization that he or she may own or operate in his or her name).
27. The recipient understands and agrees that it has a responsibility to monitor its subrecipients' compliance with applicable federal civil rights laws. The recipient agrees to submit written Methods of Administration (MOA) for ensuring subrecipients' compliance to the OJP's Office for Civil Rights at CivilRightsMOA@usdoj.gov within 90 days of receiving the grant award, and to make supporting documentation available for review upon request by OJP or any other authorized persons. The required elements of the MOA are set forth at http://www.ojp.usdoj.gov/funding/other_requirements.htm, under the heading, "Civil Rights Compliance Specific to State Administering Agencies."
28. The recipient agrees to submit (and, as necessary, require sub-recipients to submit) performance reports on the performance metrics identified by OVC, and in the time and manner required by OVC. This information on the activities supported by the award funding will assist in assessing the effects that VOCA Victim Assistance funds have had on services to crime victims within the jurisdiction. Beginning October 1, 2015, the recipient agrees to submit (and, as necessary, require sub-recipients to submit) such information quarterly.
29. The recipient must require all non-profit sub-recipients of VOCA Assistance funding under this award to make their financial statements available online (either on the recipient's, the sub-recipient's, or another publicly available website). OVC will consider sub-recipient organizations that have Federal 501(c)(3) tax status as in compliance with this requirement, with no further action needed, to the extent that such organization files IRS Form 990 or similar tax document (e.g., 990-EZ), as several sources already provide searchable online databases of such financial statements.
30. The recipient must require all non-profit sub-recipients of VOCA Assistance funding under this award to certify their non-profit status. Sub-recipients may certify their non-profit status by submitting a statement to the recipient (to be placed in the grant file) affirmatively asserting that the sub-recipient is a non-profit organization, and indicating that it has on file, and available upon audit, either -- 1) a copy of the recipient's 501(c)(3) designation letter; 2) a letter from the recipient's state/territory taxing body or state/territory attorney general stating that the recipient is a non-profit organization operating within the state/territory; or 3) a copy of the recipient's state/territory certificate of incorporation that substantiates its non-profit status. Sub-recipients that are local non-profit affiliates of state/territory or national non-profits should have available proof of (1), (2) or (3), and a statement by the state/territory or national parent organization that the recipient is a local non-profit affiliate.

LC 9/10/15



State of New Hampshire

FIS 15 217

DEPARTMENT OF SAFETY
OFFICE OF THE COMMISSIONER
33 HAZEN DR. CONCORD, NH 03305
603/271-2791

JOHN J. BARTHELMES
COMMISSIONER

September 15, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

Requested Action

Pursuant to RSA 14:30-a VI, the Department of Safety, Division of Homeland Security and Emergency Management, requests authorization to accept and expend Hazard Mitigation Grant Program (HMGP) funds from the Federal Emergency Management Agency (FEMA) for DR-4026 T.S. Irene, DR-4095 Hurricane Sandy, and DR-4105 February Snowstorm in the amount of \$1,200,143.00 for the implementation of cost-effective mitigation projects. Effective upon Fiscal Committee and Governor and Council approvals through June 30, 2017. Funding Source: 100% Federal Funds.

Funds are to be budgeted in SFY 2016 in the following account:

02-23-23-236010-29200000 Dept. of Safety HSEM Hazard Mitigation Grant Program-FEMA

	<u>Current Adjusted Authorized</u>	<u>Requested Action</u>	<u>Revised Adjusted Authorized</u>
000-408121 Federal Funds	(\$1,054,496)	(\$1,200,143)	(\$2,254,639)
018-500106 Overtime	\$0.00	\$5,000	\$5,000
020-500200 Current Expense	\$0.00	\$5,400	\$5,400
030-500311 Equipment	\$0.00	\$17,150	\$17,150
040-500800 Indirect Costs	\$0.00	\$15,827	\$15,827
041-500801 Audit Funds Set Aside	\$0.00	\$2,760	\$2,760
060-500601 Benefits	\$0.00	\$1,008	\$1,008
070-500705 In State Travel	\$0.00	\$2,031	\$2,031
072-500574 Grants Federal	\$1,054,496	\$1,045,250	\$2,099,746
080-500710 Out of State Travel	\$0.00	\$4,650	\$4,650
246-500792 Grantee Admin Costs	\$0.00	\$101,067	\$101,067
Total Appropriation	\$1,054,496	\$1,200,143	\$2,254,639

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 28, 2015
Page 2 of 2

Explanation

The Hazard Mitigation Grant Program (HMGP) provides funding to states and communities (sub-recipients) for cost-effective hazard mitigation activities that complement a comprehensive mitigation program. FEMA provides HMGP funds to states following presidentially declared disasters where the FEMA Public Assistance Program is employed that, in turn, provide sub-grants or contracts for a variety of mitigation activities, such as planning and the implementation of projects identified through the evaluation of natural hazards. The cost share is 75% Federal funds and a 25% applicant soft-match. The sub-grantee will provide and document the program match requirements. The management costs associated with the Hazard Mitigation Grant Program are 100% federal funds and do not require a matching percentage.


<u>Class Code</u>	<u>Title</u>	<u>Description</u>
018	Overtime	Provides funding for full-time staff working extra hours to manage the Hazard Mitigation Assistance programs.
020	Current Expense	Allows for purchasing supplies needed to manage the Hazard Mitigation Assistance programs.
030	Equipment	Allows for purchasing equipment needed for project management.
040	Indirect Cost	Represents the associated amount for this request.
041	Audit Fund Set Aside	Represents the associated amount for this request.
060	Benefits	Provides funding associated with Class Code 018.
070	In-State Travel	Provides funding for travel to manage the Hazard Mitigation Assistance programs statewide.
072	Grants	Provides funding for grants to sub-grantees.
080	Out of State Travel	Provides funding for travel to workshops associated with managing the Hazard Mitigation Assistance programs.
246	Grantee Admin Costs	Provides funding for Grantee administrative costs.

At the time the State of New Hampshire FY 2016-17 budget was being developed, it was not anticipated that the State would receive this level of funding.

The State of New Hampshire solicits applications statewide. Notification of the availability of HMGP funds is made to every community by e-mail and by letters sent to the chief elected official of each community. The State of New Hampshire submits all applications received for program funding to the Federal Emergency Management Agency for their final approval. Applications that are determined to be cost-effective and program eligible are then funded 75% by FEMA; not every application submitted is determined to be program eligible. However, all applications that are determined to be eligible are funded at the requested dollar amount listed in their application, pending availability of adequate program funding.

There are no General funds required with this request. In the event that Federal funds are no longer available, General funds and/or Highway funds will not be requested to support this program.

Respectfully submitted,


John J. Barthelemy
Commissioner of Safety

Homeland Security and Emergency Management
Hazard Mitigation Grant Program

Fiscal Situation: Account 02-23-23-236010-29200000

Federal Funds Awarded:

DR4026 TS Irene HMGP	\$2,210,557.00
DR4095 Hurricane Sandy HMGP	\$334,341.00
DR4105 February 2013 Snowstorm HMGP	\$959,266.00

Total Grant Funds Awarded	\$3,504,164.00
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Less expenses in FY 2013	(\$240,858.19)
Less expenses in FY 2014	(\$159,044.31)
Less expenses in FY 2015	(\$452,046.20)
Total Prior Fiscal Year Actual Expenses	(\$851,948.70)

Net Grant Funds Remaining	\$2,652,215.30
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Less: SFY 16 State Appropriation including prior year encumbrances:	(\$1,054,495.69)
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Available Funds	\$1,597,719.61
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This Request	\$1,200,143.00
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FEMA

October 24, 2012

Mr. Christopher Pope, Director
NH Department of Homeland Security and Emergency Management
33 Hazen Drive
Concord, New Hampshire 03301

Re: 12-Month Final Lock-In
FEMA-4026-DR-NH
Hazard Mitigation Grant Program (HMGP)

Dear Director Pope:

Under Section 404 of the Stafford Act, as amended, 75% Federal funding is authorized for hazard mitigation measures. As a condition of receiving Federal disaster assistance, measures must be cost-effective, environmentally acceptable and be consistent with the strategies and recommendations identified in your State Hazard Mitigation Plan. Funding for mitigation projects under the HMGP is based on 15% of the estimated aggregate amount of grants made under the Stafford Act. The 12-month final lock-in of \$2,107,500 in Federal funding is available for the HMGP under FEMA-4026-DR-NH. A breakdown of funding is listed below:

5% PROJECTS	\$ 105,375
7% PROJECTS	\$ 147,525
REGULAR PROJECTS	\$ 1,854,600
12-MONTH LOCK-IN	\$ 2,107,500
STATE MANAGEMENT COSTS	\$ 103,057

> \$ 2,210,557.00

This calculation is based on the 12-month estimate as reported by the authorized disaster assistance programs. This is the final 12-month lock-in for FEMA-4026-DR-NH. Final applications or amendments for new mitigation projects must have been submitted to the FEMA Region I Hazard Mitigation Division by **September 3, 2012**. Please forward a SF-424 to cover the funding request. If you have any questions, please contact me.

Sincerely,

Dean J. Savramis
Mitigation Division Director
FEMA Region I

Cc: Lance Harbour, HSEM



FEMA

March 10, 2014

Perry Plummer, Director
NH Department of Homeland Security and Emergency Management
33 Hazen Drive
Concord, New Hampshire 03301

Re: Section 324 Management Costs Final (12-Month) Lock-ins and
HMGP Final Lock-in Ceiling, DR-4095-NH

Dear Director Plummer:

Under Section 404 of the Stafford Act, as amended, 75% Federal funding is authorized for hazard mitigation measures. As a condition of receiving Federal disaster assistance, measures must be cost-effective, environmentally acceptable and be consistent with the strategies and recommendations identified in your State Hazard Mitigation Plan. Funding for mitigation projects under the HMGP is based on 15% of the estimated aggregate amount of grants made under the Stafford Act. The 12-month final lock-in of \$318,754 in Federal funding is available for the HMGP under FEMA-4095-DR-NH. A breakdown of funding is listed below:

5% PROJECTS	\$ 15,938
7% PROJECTS	\$ 22,313
REGULAR PROJECTS	\$ 280,503
12-MONTH LOCK-IN	\$ 318,754
STATE MANAGEMENT COST PROJECTS	\$ 15,587

\$334,341.00

This calculation is based on the 12-month estimate as reported by the authorized disaster assistance programs. This is the final 12-month lock-in for FEMA-4095-DR-NH. Final applications or amendments for new mitigation projects must have been submitted to the FEMA Region I Hazard Mitigation Division by **November 28, 2013**. Please forward a SF-424 to cover the funding request. If you have any questions, please contact me.

Sincerely,

Dean J. Savramis
Director, Mitigation Division
FEMA Region I

cc: Elizabeth Peck, HSEM
Dan McElhinney, Grants Division Director, FEMA Region I
Lynn Wright, Grants Management Branch Chief, FEMA Region I



FEMA

March 26, 2014

Perry Plummer, Director
NH Department of Homeland Security and Emergency Management
33 Hazen Drive
Concord, New Hampshire 03301

Re: Section 324 Management Costs Final (12-Month) Lock-ins and
HMGP Final Lock-in Ceiling, DR-4105-NH

Dear Director Plummer:

Under Section 404 of the Stafford Act, as amended, 75% Federal funding is authorized for hazard mitigation measures. As a condition of receiving Federal disaster assistance, measures must be cost-effective, environmentally acceptable and be consistent with the strategies and recommendations identified in your State Hazard Mitigation Plan. Funding for mitigation projects under the HMGP is based on 15% of the estimated aggregate amount of grants made under the Stafford Act. The 12-month final lock-in of \$914,545 in Federal funding is available for the HMGP under FEMA-4105-DR-NH. A breakdown of funding is listed below:

5% PROJECTS	\$ 45,727
7% PROJECTS	\$ 64,018
REGULAR PROJECTS	\$ 804,800
12-MONTH LOCK-IN	\$ 914,545
STATE MANAGEMENT COST PROJECTS	\$ 44,721

> \$959,266.00

This calculation is based on the 12-month estimate as reported by the authorized disaster assistance programs. This is the final 12-month lock-in for FEMA-4105-DR-NH. Final applications or amendments for new mitigation projects must have been submitted to the FEMA Region I Hazard Mitigation Division by **March 19, 2014**. Please forward a SF-424 to cover the funding request. If you have any questions, please contact me.

Sincerely,

Dean J. Savramis
Director, Mitigation Division
FEMA Region I

Cc: Beth Peck, HSEM
Dan McElhinney, Grants Division Director, FEMA Region I
Lynn Wright, Grants Management Branch Chief, FEMA Region I



STATE OF NEW HAMPSHIRE
 DEPARTMENT OF HEALTH AND HUMAN SERVICES
 DIVISION OF COMMUNITY BASED CARE SERVICES

FIS 15 228

Bureau of Drug and Alcohol Services

Nicholas A. Toumpas
 Commissioner

Kathleen A. Dunn
 Associate
 Commissioner

105 PLEASANT STREET, CONCORD, NH 03301
 603-271-6110 1-800-804-0909

Fax: 603-271-6105 TDD Access: 1-800-735-2964 www.dhhs.nh.gov

October 2, 2015

The Honorable Neal M. Kurk, Chairman
 Fiscal Committee of the General Court, and

Her Excellency, Governor Margaret Wood Hassan
 and the Honorable Executive Council
 State House
 Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 14:30-a, VI, authorize the Department of Health and Human Services, Office of Medicaid Business and Policy, Bureau of Drug & Alcohol Services to accept and expend Treatment Drug Court federal funds from the Substance Abuse and Mental Health Services Administration in the amount of \$324,997 effective upon date of Fiscal Committee and Governor and Executive Council approval, through June 30, 2016, and further authorize the funds to be allocated as follows:

05-95-49-491510-50900000 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVCS, HHS: DIV OF COMM BASED CARE SVC, BUREAU OF DRUG & ALCOHOL SVCS, TREATMENT DRUG COURT GRANT

Class/Object	Class Title	Current Authorized Budget	Increase/ (Decrease) Amount	Revised Modified Budget
SFY 2016				
000-400146	Federal Funds	\$0	\$324,997	\$324,997
Total Revenue		\$0	\$324,997	\$324,997
041-500801	Audit Fund Set Aside	\$0	\$325	\$325
080-500710	Out of State Travel	\$0	\$3,297	\$3,297
102-500731	Contracts for Prgrm Svcs	\$0	\$321,375	\$321,375
Total Expense		\$0	\$324,997	\$324,997

EXPLANATION

The Department of Health and Human Services, Office of Medicaid Business and Policy, Bureau of Drug & Alcohol Services seeks approval to accept and expend Treatment Drug Court funds in the amount of \$324,997 from the Substance Abuse and Mental Health Services Administration. This request represents year one of a multi-year grant (September 30, 2015 – September 29, 2018). This grant does not have a matching funds requirement. A copy of the grant award is attached.

The Treatment Drug Court grant will be used to expand and further develop the Hillsborough County Drug Court Program (HCDC). Cases for the sale, possession or manufacturing of drugs accounted for 40% of the 847 new felony cases for Hillsborough County Superior Court – Southern District in 2014. This does not take into account the number of cases that are drug related, such as theft or burglary where the offender has committed crimes to support their addiction; cases relating to drugs represent well over 50%.

The goals of the HCDC are to reduce recidivism and substance abuse among high risk/high need non-violent offenders and increase the likelihood of successful rehabilitation by breaking the criminogenic patterns of behavior related to addiction and substance abuse. This is achieved through early, continuous, and intense treatment; mandatory random drug testing; community supervision; appropriate sanctions and incentives; and other rehabilitation services, all of which are supervised by the HCDC. To meet the goals and objectives of the program, the HCDC will continue to utilize a range of evidence-based practices during screening, assessment, and treatment. HCDC recognizes that most offenders are dually diagnosed and therefore uses a combination of screening and bio-psycho-social assessment tools to meet the specific needs of individuals which provide a comprehensive picture of each offender's criminogenic, substance use, and mental health risks and needs. The treatment interventions and therapeutic approach of treatment will also be evidenced-based. The grant funds will allow for increased access to the target population as well as provide services to a larger number of clients.

Funds will be used for:

- Class 041 Audit fund set aside expense.
- Class 080 Travel to mandated federal grantee conference.
- Class 102 Contractors to provide treatment, assessment, program coordination and evaluation.

Area served: Hillsborough County.

Source of Funds: 100% Federal Substance Abuse and Mental Health Services Administration.

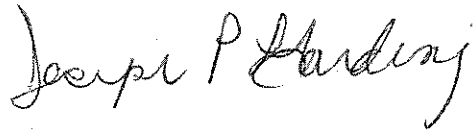
The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court, and
Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council

October 2, 2015

Page 3

In the event that federal funds become no longer available, general funds will not be requested to support the program expenditures.

Respectfully submitted,



Joseph P. Harding
Director of Substance Abuse Services

Approved by:



 Nicholas A. Toumpas
Commissioner

Enclosures



Notice of Award

SAMHSA Treatment Drug Courts
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Treatment

Issue Date: 09/08/2015

Grant Number: 1H79TI026092-01
FAIN: TI026092

Program Director:
D. Joan Bishop

Project Title: Hillsborough County Adult Drug Court - Southern District

Grantee Address	Business Address
NH STATE DEPT OF HEALTH AND HUMAN SERS 129 Pleasant Street Concord, NH 033019998	NH Dept of Health and Human Services Deputy Commissioner 129 Pleasant Street Concord, NH 03301

Budget Period: 09/30/2015 – 09/29/2016
Project Period: 09/30/2015 – 09/29/2018

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$324,997 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NH STATE DEPT OF HEALTH AND HUMAN SERS in support of the above referenced project. This award is pursuant to the authority of Section 509 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,

Eileen Bermudez
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 1H79TI026092-01

Award Calculation (U.S. Dollars)

Consortium/Contractual Cost	\$298,950
Travel Costs	\$3,297
Other	\$750
Direct Cost	\$302,997
Indirect Cost	\$22,000
Approved Budget	\$324,997
Federal Share	\$324,997
Cumulative Prior Awards for this Budget Period	\$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$324,997

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$324,997
2	\$324,997
3	\$324,997

*Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

Fiscal Information:

CFDA Number: 93.243
 EIN: 1026000618B3
 Document Number: 15TI26092A
 Fiscal Year: 2015

IC	CAN	Amount
TI	C96N532	\$324,997

IC	CAN	2015	2016	2017
TI	C96N532	\$324,997	\$324,997	\$324,997

TI Administrative Data:

PCC: DCT-AD / OC: 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 1H79TI026092-01

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 1H79TI026092-01

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Additional Costs

SECTION IV – TI Special Terms and Conditions – 1H79TI026092-01**REMARKS:**

As a reminder all SAMHSA official notifications will be electronically mailed to your organization's Business Official address as identified in the HHS Checklist, Part C.

This award reflects approval of the budget submitted on April 10, 2015 as part of the application.

SPECIAL TERMS OF AWARD:

DOMA - "On June 26, 2013, in *United States v. Windsor*, the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex spouses/marriages, was unconstitutional. As a result of that decision, SAMHSA is no longer prohibited from recognizing same sex marriages. Consistent with HHS policy and the purposes of SAMHSA programs, same-sex spouses/marriages are to be recognized in SAMHSA Treatment Drug Courts Program. This means that, as a recipient of SAMHSA Treatment Drug Courts funds you are required to treat as valid the marriages of same-sex couples whose marriage was legal when entered into. This applies regardless of whether the couple now lives in a jurisdiction that recognizes same-sex marriage or a jurisdiction that does not recognize same-sex marriage. Any same-sex marriage legally entered into in one of the 50 states, the District of Columbia, a U.S. territory or a foreign country will be recognized. However, this does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage."

Disparity Impact Statement (DIS):

By November 30, 2015, you must:

Submit an electronic copy of a disparity impact statement to the Government Project Officer (GPO) and Grants Management Specialist (GMS) as identified under Contacts on this notice of award. The disparity impact statement should be consistent with information in your application regarding access, *service use and outcomes for the program and include three components as described below. Questions about the disparity impact statement should be directed to your GPO. Examples of disparity impact statements can be found on the SAMHSA website at <http://samhsa.gov/grants/grants-management/disparity-impact-statement>.

*Service use is inclusive of treatment services, prevention services as well as outreach, engagement, training and/or technical assistance activities.

The disparity impact statement, in response to the Special Term of Award, consists of three components:

1. Proposed number of individuals to be trained by subpopulations in the grant implementation area should be provided in a table that covers the entire grant period. The disparate population(s) should be identified in a narrative that includes a description of the population and rationale for how the determination was made.
2. A quality improvement plan for how you will use your program (GPRA) data on access, use and outcomes to monitor and manage program outcomes by race, ethnicity and LGBT status, when possible. The quality improvement plan should include strategies for how processes and/or programmatic adjustments will support efforts to reduce disparities for the identified sub-populations.
3. The quality improvement plan should include methods for the development and implementation of policies and procedures to ensure adherence to the Enhanced Culturally and Linguistically Appropriate Services (CLAS) Standards and the provision of effective care and services that are responsive to:
 - a. Diverse cultural health beliefs and practices;
 - b. Preferred languages; and
 - c. Health literacy and other communication needs of all sub-populations within the proposed geographic region.

SPECIAL CONDITIONS OF AWARD:

None

STANDARD TERMS OF AWARD:

Refer to the following SAMHSA website for Standard Terms of Award:

<http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions> (NEW)

Key staff (or key staff positions, if staff has not been selected) are listed below:

D. Joan Bishop, Project Director @ 30% level of effort

All changes in key staff including level of effort must be sent electronically to the GPO including a biographical sketch and other documentation and information as stated above who will make a recommendation for approval or disapproval to the assigned Grants Management Specialist. Only the GMO, SAMHSA may approve Key Staff Changes.

REPORTING REQUIREMENTS:

Submission of a Programmatic Semi-annual Report is due no later than the dates as follows:

1st Report – April 30, 2016
2nd Report – October 31, 2016

Please submit your Programmatic Semi-annual Report to DGMPProgressReports@samhsa.hhs.gov and copy your Program Official.
(HARD COPIES SUBMISSION IS NOT REQUIRED)

Failure to comply with the above stated terms and conditions may result in suspension, classification as High Risk status, termination of this award or denial of funding in the future.

All responses to special terms and conditions of award and post award requests may be electronically mailed to the Grants Management Specialist and to the Program Official as identified on your Notice of Award.

It is essential that the Grant Number be included in the SUBJECT line of the email.

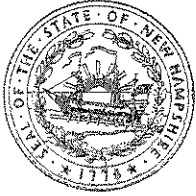
CONTACTS:

Kenneth Robertson, Program Official

Phone: (240) 276-1621 **Email:** kenneth.roberston@samhsa.hhs.gov **Fax:** (240) 276-2970

Helen Zhou, Grants Specialist

Phone: (240) 276-2482 **Email:** helen.zhou@samhsa.hhs.gov **Fax:** (240) 276-2410



State of New Hampshire

FIS 15 218

DEPARTMENT OF SAFETY
OFFICE OF THE COMMISSIONER
33 HAZEN DR. CONCORD, NH 03305
603/271-2791

JOHN J. BARTHELMES
COMMISSIONER

September 29, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

Requested Action

1. Pursuant to RSA 14:30-a, VI, authorize the Department of Safety (DOS), Division of State Police, to accept \$165,714.00 of federal funds from the NH Highway Safety Agency entitled NH State Police Captain Position for the purpose of hiring a State Police Captain. Effective upon Fiscal Committee and Governor and Council approval through September 30, 2016. Funding Source: 100% Agency Income.

2. Pursuant to RSA 124:15, authorize the Department of Safety, Division of State Police, to establish one (1) temporary full-time State Police Captain (LG 29,S416E) to be assigned in the Highway Safety Agency of the Department of Safety in an effort to assist and effectively plan, manage, and provide oversight of Highway Safety projects and activities. Effective upon Fiscal Committee and Governor and Council approval through September 30, 2016. Funding Source: 100% Agency Income.

Funds are available in SFY2016 in the following account:

02-23-23-234010-22110000 Dept. of Safety – Division of State Police – Hgwy Sfty Equip Training Grant
Amount: \$165,714.00

<u>Class</u>	<u>Description</u>	<u>Current Estimated</u> <u>Adjusted Authorized</u>	<u>Requested Action</u>	<u>Revised Adjusted</u> <u>Authorized</u>
009 -405921	Agency Income	\$ (240,073.68)	\$ (165,714.00)	\$ (405,787.68)
018-500106	Overtime	\$ -	\$ 2,000.00	\$ 2,000.00
019-500105	Holiday Pay	\$ -	\$ 1,000.00	\$ 1,000.00
020-500221	Current Expenses	\$ 0.22	\$ -	\$ 0.22
030-500311	Equipment	\$ 0.41	\$ -	\$ 0.41
039-500180	Telecommunications	\$ 0.60	\$ -	\$ 0.60
040-500800	Indirect Cost	\$ 21,705.95	\$ -	\$ 21,705.95
046-500465	Consultants	\$ 218,366.50	\$ -	\$ 218,366.50
059-500117	Temp - Full Time	\$ -	\$ 105,513.00	\$ 105,513.00
060-500602	Benefits	\$ -	\$ 57,201.00	\$ 57,201.00
	Total	\$ 240,073.68	\$ 165,714.00	\$ 405,787.68

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 29, 2015
Page 2 of 3

Explanation

In the last 48 years, the Highway Safety Agency now the Highway Safety Agency of the Department of Safety has operated using a staff of six employees that has processed and assisted in managing federal grants (NHTSA Funding) through an application process that has provided funding to organizations, police departments, and state agencies that want to address highway safety issues. The Highway Safety Agency staffing levels are set by the enabling legislation created in 1967 and last amended in 1981. Since 1967 and the Enabling Legislation, New Hampshire has experienced a dramatic increase in population and drivers. Because of this increase in population, drivers, and crashes over the past 48 years, the Highway Safety Agency is now receiving hundreds more projects than in years past to process and manage (e.g., score, conduct risks assessments, monitor, reimburse, etc.) while using the same number of employees that was used 48 years ago. Currently, the program management abilities/functions of the Highway Safety Agency are constrained due to a limited number of staff and the expectations placed on the staff to manage multiple projects and multiple program areas. A management review conducted on the Highway Safety Agency by NHTSA staff in February 2015 found that "[t]he staff shortage has prevented the NHHSA from effectively carrying out all of the required duties. The staff shortage has limited capacity to improve planning and implement projects which directly impacts the liquidation of funds. Failure to maintain an adequately staffed office could put the NHHSA at risk for non-compliance of Enabling Legislation (23 CFR Part 1200.4)." NHTSA cited the need to increase staffing of Highway Safety Agency specifically under 23 CFR Part 1200.4 (b)(6), "Establish and maintain adequate staffing to effectively plan, manage, and provide oversight of highway safety projects approved in the Highway Safety Plan (HSP)".

The State Police Captain position will allow the Department to effectively plan, manage, and provide oversight of Highway Safety projects and activities. It will also enhance the overall effectiveness of the Highway Safety Agency office and increase outreach to potential grantees, especially in areas where data indicates greater needs for specific countermeasure activities. Finally, it will address and resolve the issues identified in the management review conducted by NHTSA.

The following information is provided in accordance with the Comptroller's instructional memorandum dated September 21, 1981.

- 1) *List of personnel involved:* One (1) temporary full-time State Police Captain (LG 29, S416E) position.
- 2) *Nature, Need, and Duration:* The State Police Captain will be assigned in the Highway Safety Agency of the Department of Safety in an effort to assist and effectively plan, manage, and provide oversight of Highway Safety projects and activities. The position will remain as long as federal funds are available.
- 3) *Relationship to existing agency programs:* This position will be part of the Highway Safety Agency of the Department of Safety. The State Police Captain will augment the present State Police Division staff, as well as the current Highway Safety Agency staff, with the intention of assisting and effectively planning, managing, and providing oversight of Highway Safety projects and activities.
- 4) *Has a similar program been requested of the legislature and denied?* No
- 5) *Why wasn't funding included in the agency's budget request?* The position is a temporary full-time position, which is 100% federally funded. At the time that the budget was prepared the Department was not aware of this position.
- 6) *Can portions of the grant funds be utilized?* These funds can only be utilized for the purpose of funding these temporary full-time position and their related costs.
- 7) *Estimate the funds required to continue this position(s):* Based upon the 2016-2017 Collective Bargaining Agreement, within the pay scale for S416E – 40 hour wage schedule, the amount needed to fund this position (LG 29, Step 8) for one year would be \$102,856.00 for salaries and an additional \$57,201.00 for benefits for a total of \$165,057.00.

Funds are to be budgeted as follows:

Funds in Class 18 are needed to pay the overtime for class 59 position as approved by the approving Federal Agency.

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 29, 2015
Page 3 of 3


Funds in Class 19 are needed to pay the holiday pay as approved by the approving Federal Agency.

Funds in Class 59 are needed to pay the overtime for details as approved by the approving Federal Agency

Funds in Class 60 are needed to pay for benefits associated with the overtime, holiday, and class 59 as approved by the approving Federal Agency.

In the event that Agency Income funds become no longer available General and/or Highway funds will not be requested to support this program.

Respectfully submitted,


John J. Barthelmes
Commissioner of Safety

Department of Safety
Highway Safety Equipment and Training Grants
Fiscal Situation

02-23-23-234010-22110000

SFY 2016

Federal Funds Awarded:

FFY 2015 Grant - VPN Installation Assistance - 11/15/2014 - 9/30/2015	\$143,881.00
FFY 2015 Grant - NHSP CRMS Grant - 2/1/2015- 9/30/2015	\$149,518.40
FFY 2016 Grant - NH State Police Captain Position - 10/1/2015- 9/30/2016	\$165,714.00
Total Grant Funds Awarded	\$459,113.40

Less SFY 2015 expenses on FFY 2015 Grants	(\$53,327.50)
Less Balance of FFY 2014 Grants Budgeted in SFY15 Completed	\$0.00
Total	(\$53,327.50)

Net Grant Funds Remaining as of July 1, 2015 (SFY 2016) \$405,785.90

Less SFY 2016 Appropriation including prior year encumbrances 02-23-23-234010-22110000	(\$240,073.68)
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Grant Funds Available \$165,712.22

This Request \$165,714.00

**CONTRACTUAL AGREEMENT
FOR HIGHWAY SAFETY PROJECT GRANT**

For HSA Use Only

State of New Hampshire
Highway Safety Agency
78 Regional Drive, Building 2
Concord, NH 03301-8530

Date Received September 29, 2015	Project Number #300-16S-002
Date Approved September 29, 2015	PSP and Task # 16-08, 01

Part I

1. Project Title NH State Police Captain Position	2. Type of Application (Check One) <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Revision <input type="checkbox"/> Continuation
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3. Applicant A. Name of Agency DUNS Number 060340564 NH Department of Safety	B. Address of Agency 33 Hazen Drive Concord NH 03305-0011
C. Government Unit (Check One) <input checked="" type="checkbox"/> State <input type="checkbox"/> City/Town <input type="checkbox"/> County <input type="checkbox"/> Other (specify):	D. Name Address of Governmental Unit State of New Hampshire Concord, NH 03301

Contract Duration A. Contract Period Start Date: October 1, 2015 Termination Date: September 30, 2016	Functional Area PA - Planning & Administration CFDA# 20.600 Program Title State & Community Highway Safety Funding Source National Highway Traffic Safety Administratio
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6. Description of Project (Describe in detail in Schedule A) and Source of Funds

Budget (Provide itemization as called for on Schedule B) and Source of Funds					
Cost Category	Total Budget	Federal Budget	Local Budget	State Budget	Other Funds
a. Personnel Services	\$165,714.00	\$165,714.00			
b. Current Expense					
c. Equipment					
d. Indirect Costs Audit					
e. Contractual Services					
f. Other					
Total Estimated Costs Including Non-Federal Share	\$165,714.00	\$165,714.00			

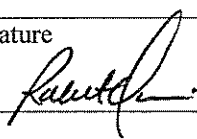


7. Local Benefit: It is anticipated that the federal share for local benefit will be: <u>0%</u> (\$0.00)

Part II


BUDGET AND PERSONNEL DATA		
a. Personnel Services Salary \$102,856.00	\$105,513.00	
Holiday Pay	1,000.00	
Overtime	2,000.00	
Benefits:	57,201.00	\$165,714.00
b. Current Expenses		
c. Equipment		
d. Indirect Costs and Audit Expense		
e. Contractual Services		
f. Travel Expenses		
Total		\$165,714.00

Part III

Acceptance of Conditions. It is understood and agreed by the undersigned that a grant received as a result of this contract is subject to the regulations governing grant which have been furnished (or will be furnished upon request) to the applicant.

A. Project Director		
1) Name Robert L. Quinn	2) Title Director of State Police NH Department of Safety	3) Address 33 Hazen Drive Concord, NH 03305
4) Signature X 	5) Telephone Number	
B. Authorized Official		
1) Name Kevin P. O'Brien 	2) Title Assistant Commissioner, NH Department of Safety	3) Address 33 Hazen Drive Concord, NH 03305
4) Signature X 	5) Telephone Number	

Part IV (For HSA Use Only)

1. Approval Date September 29, 2015	2. Signature & Title  John J. Barthelmes, Coordinator NH Highway Safety Agency
3. Federal Funds Obligated by this Agreement: \$165,714.00	

**CONTRACTUAL AGREEMENT
FOR HIGHWAY SAFETY PROJECT GRANT**

For HSA Use Only

State Of New Hampshire
Highway Safety Agency
78 Regional Drive, Building 2
Concord, NH 03301-8530

Date Received October 28, 2014	Project Number #310-15S-002
Date Approved October 28, 2014	PSP and Task # 15-04, 05

Part I

1: Project Title VPN Installation Assistance	2. Type of Application (Check One) <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Revision <input type="checkbox"/> Continuation
--	--

3. Applicant	
A. Name of Agency DUNS Number 060340564 NH Department of Safety Division of State Police	B. Address of Agency 33 Hazen Drive Concord NH 03305-0011
C. Government Unit (Check One) <input checked="" type="checkbox"/> State <input type="checkbox"/> City/Town <input type="checkbox"/> County <input type="checkbox"/> Other (specify):	D. Name Address of Governmental Unit State of New Hampshire Concord, NH 03301

4. Contract Duration A. Contract Period Start Date: November 15, 2014 Termination Date: September 30, 2015	Functional Area M3DA - 405c Data Program CFDA# 20.616 Program Title Traffic Safety Info System Improvement Grant Funding Source National Highway Traffic Safety Administratio
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6. Description of Project (Describe in detail in Schedule A) and Source of Funds

Budget (Provide itemization as called for on Schedule B) and Source of Funds					
Cost Category	Total Budget	Federal Budget	Local Budget	State Budget	Other Funds
a. Personnel Services					
b. Current Expense					
c. Equipment					
d. Indirect Costs Audit	\$13,009.00	\$13,009.00			
e. Contractual Services	\$130,872.00	\$130,872.00			
f. Other					
Total Estimated Costs Including Non-Federal Share	\$143,881.00	\$143,881.00			

7. Local Benefit: It is anticipated that the federal share for local benefit will be: <u>0%</u> (\$0.00)
--

**CONTRACTUAL AGREEMENT
FOR HIGHWAY SAFETY PROJECT GRANT**

For HSA Use Only

State Of New Hampshire
Highway Safety Agency
78 Regional Drive, Building 2
Concord, NH 03301-8530

Date Received December 23, 2014	Project Number 310-15S-005
Date Approved December 23, 2014	PSP and Task # 15-04, 08

Part I

1. Project Title NH State Police Crash Records Management System	2. Type of Application (Check One) <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Revision <input type="checkbox"/> Continuation
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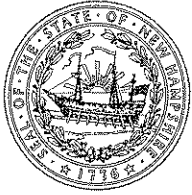
3. Applicant:	
A. Name of Agency DUNS Number 060340564 NH Department of Safety Division of State Police	B. Address of Agency 33 Hazen Drive Concord NH 03305-0011
C. Government Unit (Check One) <input checked="" type="checkbox"/> State <input type="checkbox"/> City/Town <input type="checkbox"/> County <input type="checkbox"/> Other (specify):	D. Name Address of Governmental Unit State of New Hampshire Concord, NH 03301

4. Contract Duration A. Contract Period Start Date: February 1, 2015 Termination Date: September 30, 2015	Functional Area K9 - 408 Data Program Incentive CFDA# 20.610 Program Title Traffic Safety Info System Improvements Grant Funding Source National Highway Traffic Safety Administration
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6. Description of Project (Describe in detail in Schedule A) and Source of Funds

Budget (Provide itemization as called for on Schedule B) and Source of Funds					
Cost Category	Total Budget	Federal Budget	Local Budget	State Budget	Other Funds
a. Personnel Services					
b. Current Expense					
c. Equipment					
d. Indirect Costs Audit	\$13,518.40	\$13,518.40			
e. Contractual Services	\$136,000.00	\$136,000.00			
f. Other					
Total Estimated Costs Including Non-Federal Share	\$149,518.40	\$149,518.40			

7. Local Benefit: It is anticipated that the federal share for local benefit will be: <u>100%</u> (\$149,518.40)



Nicholas A. Toumpas
Commissioner

Marcella Jordan Bobinsky
Acting Director

STATE OF NEW HAMPSHIRE

DEPARTMENT OF HEALTH AND HUMAN SERVICES

29 HAZEN DRIVE, CONCORD, NH 03301-6503
603-271-4612 1-800-852-3345 Ext. 4612
Fax: 603-271-4827 TDD Access: 1-800-735-2964

FIS 15 224



September 25, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court, and

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

1. Pursuant to the provisions of RSA 14:30-a, VI, Additional Revenues, authorize the Department of Health and Human Services, Division of Public Health Services, Bureau of Laboratory Services, to accept and expend federal funds in the amount of \$1,038,641 from the US Centers for Disease Control and Prevention (CDC) to fund the NH Biomonitoring Program, effective upon date of approval by the Fiscal Committee and Governor and Council, through June 30, 2017. **Retroactive** to July 1, 2015 through June 30, 2017, and further authorize the funds to be allocated as follows. 100% Federal Funds.
2. Pursuant to the provisions of NH RSA 124:15, Positions Restricted, and subject to the approval of item 1 above, authorize the Department of Health and Human Services, Division of Public Health Services, Public Health Laboratories, Biomonitoring Program to create five positions utilizing funds from the US Centers for Disease Control and Prevention, Biomonitoring Cooperative Agreement effective upon date of approval by the Fiscal Committee and Governor and Council, through June 30, 2017.

Full-time, temporary (Class 059) position – Toxicologist IV, Labor Grade 29
Full-time, temporary (Class 059) position – Toxicologist II, Labor Grade 23
Full-time, temporary (Class 059) position – Public Health Program Manager, Labor Grade 26
Full-time, temporary (Class 059) position – Program Specialist IV, Labor Grade 25
Full-time, temporary (Class 059) position – Toxicologist II, Labor Grade 23

05-95-90-903010-8280 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SERVICES,
HHS: DIVISION OF PUBLIC HEALTH, BUREAU OF LABORATORY SERVICES, BIOMONITORING
GRANT

SFY 2016

Class/Object	Class Title	Current Modified Budget	Increase (Decrease) Amount	Revised Modified Budget
000-404972	Federal Funds	646,790	554,028	1,200,818
Total Revenue		646,790	554,028	1,200,818
010-500100	Personal Services - Perm	0		
018-500106	Overtime	2,000		2,000
019-500105	Holiday Pay	1		1
020-500200	Current Expense	8,000		8,000
024-500225	Maint not Building & Grounds	75,000		75,000
030-500311	Equipment	400,000	69,838	469,838
039-500188	Telecommunications	1,750		1,750
041-500801	Audit Fund Set Aside	627	554	1,181
042-500620	Add'l Fringe COLA	0	45,956	45,956
050-500109	Personal Services Other	21,400		21,400
057-500535	Books, Periodicals and Subscriptions	300		300
059-500117	Full Time Temp	0	285,870	285,870
060-500602	Benefits	18,012	151,810	169,822
066-500543	Employee Training	1,200		1,200
070-500704	In-State Travel	2,500		2,500
080-500710	Out-of-State Travel	15,000		15,000
102-500734	Contracts for Program Services	26,000		26,000
548-500396	Reagents	75,000		75,000
Total Expenses		646,790	554,028	1,200,818

SFY 2017

Class/Object	Class Title	Current Modified Budget	Increase (Decrease) Amount	Revised Modified Budget
000-404972	Federal Funds	649,700	484,613	1,134,313
Total Revenue		649,700	484,613	1,134,313
010-500100	Personal Services - Perm	1		1
018-500106	Overtime	2,000		2,000
019-500105	Holiday Pay	1		1
020-500200	Current Expense	8,000	492	8,492
024-500225	Maint not Building & Grounds	75,000		75,000
026-500251	Memberships	0		0
030-500311	Equipment	400,000		400,000
039-500188	Telecommunications	1,750		1,750
041-500801	Audit Fund Set Aside	629	485	1,114
042-500620	Add'l Fringe COLA	0	45,956	45,956
050-500109	Personal Services Other	21,400		21,400
057-500535	Books, Periodicals and Subscriptions	300		300
059-500117	Full Time Temp	0	285,870	285,870
060-500602	Benefits	18,919	151,810	170,729
066-500543	Employee Training	1,200		1,200
070-500704	In-State Travel	2,500		2,500
080-500710	Out-of-State Travel	15,000		15,000
102-500734	Contracts for Program Services	28,000		28,000
548-500396	Reagents	75,000		75,000
Total Expenses		649,700	484,613	1,134,313

EXPLANATION

This request is **Retroactive** to July 1, 2015 because the salary and benefits were not included in the State Fiscal Year 2016 and 2017 Biennium Budget as the deadline to create new positions in the Biennium Budget had passed. However, all other budget classes were included as part of the budget approval process.

These funds were awarded August 14, 2014, and an Accept and Expend Request to the Fiscal Committee and Governor and Council was approved February 11, 2015, Item # 8 (copy attached). Positions are in active recruitment. One position had been offered, accepted and filled during SFY 2015 and an external candidate verbally accepted another position. The other two positions are in active recruitment. The fifth position,

approved for year two of the grant, beginning 2015, will be posted following fiscal and Governor and Council approval.

The CDC State Biomonitoring Cooperative Agreement serves to increase the capability and capacity of states to conduct biomonitoring and surveillance to assess human exposure to environmental chemicals. Biomonitoring provides human exposure data that can assist in making important public health decisions. Better exposure information helps identify at-risk population groups and assess the effectiveness of interventions. The Division of Public Health Services will use the funding to purchase laboratory equipment and supplies, hire and train toxicologists and epidemiologists, and conduct both targeted and surveillance investigations. Toxicologists will conduct the laboratory analysis and epidemiologists will work to determine exposure risks of New Hampshire residents. CDC program staff will provide technical support and training for the State program.

In future years of the project, the Public Health Laboratories will initiate a state-wide Surveillance Biomonitoring effort, testing blood and urine for chemicals of concern such as PFC's in New Hampshire.

- Funds are budgeted for Full Time Temporary Personal, and Benefits (Class, 059, and 060) if approved in item 2, to support all programmatic activities, based on a likely hire date of November 6, 2015.
- Funds are budgeted for Current Expense (Class 020) for printing/toner supplies and postage for laboratory reports.
- Funds are budgeted for Equipment (Class 030) for additional funds to purchase a LC Mass Spectrometer.
- Funds are budgeted for Audit costs (Class 041) per state requirements.
- Funds are budgeted for Additional Fringe Benefits (Class 042) for post-retirement benefits.

The following information is provided in accordance with the Comptroller's instructional memorandum dated September 21, 1981:

1) List of personnel involved:

Full-time Toxicologist IV, LG 29, Position # 9T2745
Full-time Toxicologist II, LG 23, Position# 9T2746
Full-time Public Health Program Manager, LG 26, Position# 9T2751
Full-time Program Specialist IV, LG 25, Position # 9T2748
Full-time Toxicologist II, LG 23, Position# 9T2747

2) Nature, need and duration:

Full-time Toxicologist IV, LG 29, Position # 9T2745

This senior analytical chemist will be responsible for technical supervision of the Toxicologist II, establishment of priorities, determination of workflow, biomonitoring laboratory quality assurance, preparation of reports, and analytical testing.

Full-time Toxicologist II, LG 23, Position# 9T2746

This position is essential for the analysis of specimens associated with targeted biomonitoring project activities.

Full-time Public Health Program Manager, LG 26, Position # 9T2751

This senior epidemiologist will be responsible for the overall study design, in consultation with the Chemistry Program Manager and the project toxicologists, supervision of the Public Health

Specialist, development of the survey instrument, and the preparation of required applications and forms to achieve project goals.

Full-time Program Specialist IV, LG 25, Position # 9T2748

This Program Specialist will be actively involved in recruitment of study participants, specimen collection activities, and the development of protocols to accomplish programmatic goals.

Full-time Toxicologist II, LG 23, Position# 9T2747

This position is essential for the analysis of specimens associated with surveillance biomonitoring project activities.

All positions are from the date of hire until the project completion.

- 3) Relationship to existing agency programs:
The Biomonitoring Program will enhance the existing biomonitoring capabilities and capacity of the NH Public Health Laboratories and complement current environmental health activities conducted by local health departments, Division of Public Health Services, and the Department of Environmental Services.
- 4) Has similar program been requested of the Legislature and denied?
No. The funding was submitted to Fiscal Committee in item FS15-126, which was subsequently withdrawn by the Department.
- 5) Why wasn't funding included in the agency's budget request?
Funds were awarded effective September 1, 2014 and accepted into the State Fiscal Year 2015 budget. Non-salary and Non-benefit funds were added to the Agency's budget request for the State Fiscal Year 2016 and 2017 Biennium State Budget, but due to the timing of the grant award, the Department had missed the deadline to create new positions in the budget approval process. Therefore, this request is for funding related to salary and benefits for the State Fiscal Year 2016 and 2017 Biennium State Budget, subject to the approval of item 1 and item 2 above.
- 6) Can portions of the grant funds be utilized for other purposes?
Federal funds allocated to the State cannot be used for other purposes.
- 7) Estimate the funds required to continue this position:

Position (Salary & Benefits)	SFY 2016	SFY 2017
Toxicologist IV	\$96,197	\$96,197
Toxicologist II (a)	\$77,861	\$77,861
PH Program Manager	\$86,433	\$86,433
Program Specialist IV	\$99,328	\$99,328
Toxicologist II (b)	\$77,861	\$77,861

These funds may not be used to offset General Funds as they are specifically granted to the State for the purpose of providing the services described above.

These funds will not change the program eligibility levels. No new program will be established with the acceptance of these funds.

The Honorable Neal M. Kurk, Chairman, and
Her Excellency, Governor Margaret Wood Hassan
September 25, 2015
Page 6 of 6

Area served: Statewide

Source of funds: These funds are 100% Federal from US Centers for Disease Control and Prevention to fund the Biomonitoring Program.

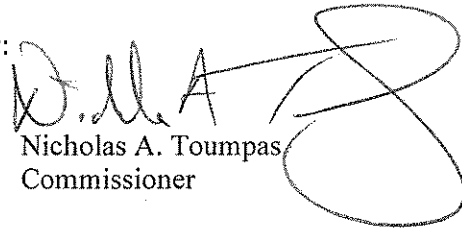
Attached are the Division of Personnel authorization, Notice of Grant Award and Award History. In the event that these Federal Funds become no longer available, General Funds will not be requested to support this program.

Respectfully submitted,



Marcella Jordan Bobinsky, MPH
Acting Director

Approved by:



Nicholas A. Toumpas
Commissioner

MJB/MH/sjw

**AWARD HISTORY
Biomonitoring
U88EH001142**

Award Ending 8/31/2015	815,909
Anticipated award ending 08/31/2016 (815,909/12*10)	679,924
Expended through 6/30/15	(297,015)
Award Balance 7/1/15	1,198,818
SFY 16 Appropriation **	(644,790)
OYR	<u>-</u>
Available to Accept in SFY 16	554,028
Amount Requested this Action	<u>554,028</u>

SFY 16 Appropriation					
8280	Current	OYR	Total	This Action	Revised Budget
Biomonitoring	644,790		644,790	554,028	1,198,818
	<u>647,700</u>	<u>-</u>	<u>644,790</u>	<u>554,028</u>	<u>1,198,818</u>

**AWARD HISTORY
Biomonitoring
U88EH001142**

Award Ending 8/31/2016	815,909
Anticipated award ending 08/31/2017 (1,000,000/12*10)	833,333
Expended through 6/30/16	(500,000)
Award Balance 7/1/16	1,149,242
SFY 16 Appropriation **	(647,700)
OYR	<u>-</u>
Available to Accept in SFY 17	501,542
Amount Requested this Action	<u><u>484,613</u></u>

**** SFY 17 Appropriation**

	8280	Current	OYR	Total	This Action	Revised Budget
Biomonitoring		647,700		647,700	484,613	1,132,313
		<u>647,700</u>	<u>-</u>	<u>647,700</u>	<u>484,613</u>	<u>1,132,313</u>



Grant Number: 1U88EH001142-01
FAIN: U88EH001142

Principal Investigator(s):
Christine Louise Bean, PHD

Project Title: NEW HAMPSHIRE EXPANDED BIOMONITORING PROGRAM

DOLORES COOPER
DPHS FINANCIAL MGR
29 HAZEN DRIVE
DIVISION OF PUBLIC HEALTH SVC
CONCORD, NH 033016504

Budget Period: 09/01/2014 – 08/31/2015
Project Period: 09/01/2014 – 08/31/2019

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$815,909 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NH ST DEPARTMENT OF HEALTH & HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS Act, Sec 1706, 42 USC 300u-5, as amended; Sec 2(d), PL 98-551 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Glynnis Taylor
Grants Management Officer
Centers for Disease Control and Prevention

Additional information follows

SECTION I – AWARD DATA – 1U88EH001142-01

Award Calculation (U.S. Dollars)

Salaries and Wages	\$175,457
Fringe Benefits	\$87,729
Personnel Costs (Subtotal)	\$263,186
Equipment	\$310,000
Supplies	\$76,667
Travel Costs	\$14,622
Other Costs	\$9,450
Consortium/Contractual Cost	\$6,000

Federal Direct Costs	\$679,925
Federal F&A Costs	\$135,984
Approved Budget	\$815,909
Federal Share	\$815,909
TOTAL FEDERAL AWARD AMOUNT	\$815,909

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$815,909

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

02	\$1,000,000
03	\$1,000,000
04	\$1,000,000
05	\$1,000,000

Fiscal Information:

CFDA Number: 93.070
 EIN: 1026000618B3
 Document Number: 001142EH14

IC	CAN	2014	2015	2016	2017	2018
EH	939ZTFM	\$815,909	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$815,909	\$815,909
2	\$1,000,000	\$1,000,000
3	\$1,000,000	\$1,000,000
4	\$1,000,000	\$1,000,000
5	\$1,000,000	\$1,000,000

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

CDC Administrative Data:

PCC: / OC: 4151 / Processed: ERAAPPS 08/14/2014

SECTION II – PAYMENT/HOTLINE INFORMATION – 1U88EH001142-01

For payment information see Payment Information section in Additional Terms and Conditions.

INSPECTOR GENERAL: The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such



COOPERATIVE AGREEMENTS
Department of Health and Human Services
Centers for Disease Control and Prevention
NATIONAL CENTER FOR ENVIRONMENTAL HEALTH

Notice of Award

Issue Date: 07/17/2015



Grant Number: 5U88EH001142-02
FAIN: U88EH001142

Principal Investigator(s):
Christine Louise Bean, PHD

Project Title: NEW HAMPSHIRE EXPANDED BIOMONITORING PROGRAM

DOLORES COOPER
DPHS FINANCIAL MGR
29 HAZEN DRIVE
DIVISION OF PUBLIC HEALTH SVC
CONCORD, NH 033016504

Budget Period: 09/01/2015 – 08/31/2016

Project Period: 09/01/2014 – 08/31/2019

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$815,909 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NH ST DEPARTMENT OF HEALTH & HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of PHS Act, Sec 1706, 42 USC 300u-5, as amended; Sec 2(d), PL 98-551 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Ralph U Robinson
Grants Management Officer
Centers for Disease Control and Prevention

Additional information follows

SECTION I – AWARD DATA – 5U88EH001142-02

Award Calculation (U.S. Dollars)

Salaries and Wages	\$287,390
Fringe Benefits	\$147,609
Personnel Costs (Subtotal)	\$434,999
Equipment	\$108,000
Supplies	\$86,354
Travel Costs	\$24,721
Other Costs	\$17,851
Consortium/Contractual Cost	\$8,000

Federal Direct Costs	\$679,925
Federal F&A Costs	\$135,984
Approved Budget	\$815,909
Federal Share	\$815,909
TOTAL FEDERAL AWARD AMOUNT	\$815,909

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$815,909

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

03	\$1,000,000
04	\$1,000,000
05	\$1,000,000

Fiscal Information:

CFDA Number: 93.070
 EIN: 1026000618B3
 Document Number: 001142EH14

IC	CAN	2015	2016	2017	2018
EH	939ZTFM	\$815,909	\$1,000,000	\$1,000,000	\$1,000,000

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$815,909	\$815,909
3	\$1,000,000	\$1,000,000
4	\$1,000,000	\$1,000,000
5	\$1,000,000	\$1,000,000

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

CDC Administrative Data:

PCC: / OC: 4151 / Processed: ERAAPPS 07/17/2015

SECTION II – PAYMENT/HOTLINE INFORMATION – 5U88EH001142-02

For payment information see Payment Information section in Additional Terms and Conditions.

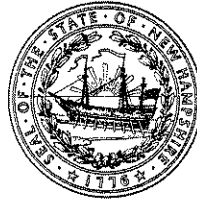
INSPECTOR GENERAL: The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they

ATTORNEY GENERAL
DEPARTMENT OF JUSTICE

FIS 15 211

33 CAPITOL STREET
CONCORD, NEW HAMPSHIRE 03301-6397

JOSEPH A. FOSTER
ATTORNEY GENERAL



ANN M. RICE
DEPUTY ATTORNEY GENERAL

September 29, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, NH 03301

REQUESTED ACTION

Pursuant to RSA 7:6-e, the Department of Justice seeks approval to expend the below listed settlements totaling \$789,846.82 received by the Department of Justice (DOJ), Division of Public Protection, Consumer/Antitrust Bureau (02-20-20-200510-2611/2612) from a multistate settlement and respectfully requests to retain the funds for the support of the Department's Consumer/Antitrust Bureaus effective with the date of the Fiscal Committee of the General Court's approval.

<u>Date Received</u>	<u>Settlement From</u>	<u>Amount Received</u>
September 3, 2015	AMGEN Inc.	\$789,846.82

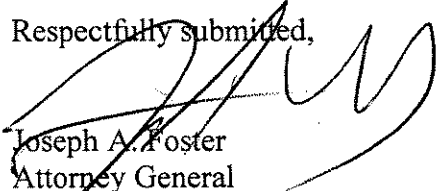
EXPLANATION

New Hampshire was one of 48 states involved in a \$71 million multistate settlement to resolve allegations that AMGEN Inc. unlawfully promoted biologic medications Aranesp and Enbrel. New Hampshire's portion of this settlement is \$789,846.82. In addition to the monetary settlement and to further protect consumers, AMGEN Inc. must reform its marketing and promotional practices.

Settlement funds have been and are currently being used to fund the Consumer Protection/Antitrust Bureaus. We respectfully request that the funds continue to be used for this purpose.

Please let me know if you have any questions regarding this request. Your consideration is greatly appreciated.

Respectfully submitted,


Joseph A. Foster
Attorney General

#1276022

Department of Justice Consumer Escrow Account 2611000-003 Remaining Settlements		Department of Justice Consumer Escrow Account 2611000-003 Budget Use	
Balance as of 07/31/2015	\$ 4,215,825	Current	
Settlement Detail		SFY 2016 Budgeted	\$ 1,036,931
SFY 2016		SFY 2017 Budgeted	\$ 1,061,191
Sprint Cramming Multistate (07/02/2015)	\$ 134,837	Subtotal	<u>\$ 2,098,122</u>
JP Morgan Chase (07/15/2015)	\$ 266,547	Investigative/Restitution Payments	\$ 236,413
AMGEN Inc. (09/03/2015)	\$ 789,847	Total Committed To Date	<u>\$ 2,334,535</u>
SFY 2015		Remaining Funds Subtotal (Escrow-Committed)	\$ 2,680,996
Verizon Wireless Cramming Multistate (06/26/2015)	\$ 179,794	HB2 Amount For General Fund	\$ (1,168,831)
AT&T Cramming Multistate (10/08/2014)	\$ 225,119	Remaining Escrow Funds	<u>\$ 1,512,165</u>
Affinion (12/11/2014)	\$ 223,839		
T-Mobile Cramming Multistate (01/22/2015)	\$ 202,607	Remaining balance after HB2 will cover FY 2018 and some of	
Pfizer (09/29/2014)	\$ 444,765	FY2019. Will need General Funds for remainder of FY2019 without	
Sirius (03/27/2015)	\$ 53,001	additional settlements.	
SFY2013			
ssen Pharmaceuticals	\$ 2,258,764		
Current Balance For Consumer/Antitrust Use	<u>\$ 4,779,118</u>		
Remaining Investigative/Restitution	<u>\$ 236,413</u>		
Total Current Balance	<u><u>\$ 5,015,531</u></u>		

ATTORNEY GENERAL
DEPARTMENT OF JUSTICE

FIS 15 212

33 CAPITOL STREET
CONCORD, NEW HAMPSHIRE 03301-6397

JOSEPH A. FOSTER
ATTORNEY GENERAL



ANN M. RICE
DEPUTY ATTORNEY GENERAL

September 28, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, NH 03301

Her Excellency Governor Margaret Wood Hassan
And the Honorable Council
State House
Concord, NH 03301

REQUESTED ACTION

Pursuant to RSA 7:12, authorize the Department of Justice (DOJ) to accept and expend a sum not to exceed \$600,000 from funds not otherwise appropriated for the purpose of covering projected shortfalls in the general litigation expenses incurred in the defense of the State and the prosecution of criminal law effective with the approvals of the Fiscal Committee and the Governor and Council through June 30, 2016. 100% General Funds.

These funds are to be budgeted in account #02-20-20-200010-2601 entitled "Attorney General" as follows:

<u>Class/Expense</u>	<u>Class Title</u>	<u>Current Budget</u>	<u>Balance Forward</u>	<u>Available Balance</u>	<u>Projected Shortfall</u>	<u>Anticipated Expenditures</u>
233-500769	Litigation Expense	\$350,000	\$259,586	\$609,586	(\$600,000)	(\$1,209,586)

EXPLANATION

The DOJ has been appropriated a sum of \$350,000 for general litigation expenses for Fiscal Year 2016. In addition, \$259,586 was brought forward from Fiscal Year 2015. The Department has expended/committed \$344,695 to date and has recently received October invoices totaling \$364,300 leaving a deficit of approximately \$99,400. Although litigation costs are very difficult to forecast, this request for \$600,000 is to cover anticipated expenditures through June 30, 2016.

The Department continues to incur litigation costs in the Criminal Bureau for cases that include the *Addison* appeal, *State vs. Kibby*, *State vs. Barnaby* and other ongoing homicide cases. We anticipate incurring costs in excess of \$180,000 for various lab tests, crime scene evaluations and expert review for upcoming trials. Litigation for on-going civil cases, including the State's Fair Labor Standard Act Review/Counsel and *St. Joseph vs. Department of Revenue Administration*, are estimated to cost approximately \$545,000. On-going matters being handled by the Consumer, Environmental and Transportation Bureaus are estimated to cost in excess of \$140,000.

Please let me know if you have any questions. Your consideration is greatly appreciated.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'J. Foster', written over a horizontal line.

Joseph A. Foster
Attorney General

#1275536



New Hampshire Fish and Game Department

FIS 15 226

HEADQUARTERS: 11 Hazen Drive, Concord, NH 03301-6500
(603) 271-3421
FAX (603) 271-1438

www.WildNH.com
e-mail: info@wildlife.nh.gov
TDD Access: Relay NH 1-800-735-2964

September 30, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Her Excellency Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to RSA 215-A:23, IX and RSA 215-C:39, X, authorize the transfer of \$315,660.00 of unexpended funds from Excess Registration Fees, Account Number 20-07500-11830000-009-405928 to the Fish and Game OHRV Fiscal Year 2016 Operating Budget as follows:

03-75-75-752520 Law Enforcement Program
20-07500-11830000 OHRV Education, Training and Enforcement Fiscal Year 2016

Class	Account	Description	Current Budget	Change	Revised Budget
010	500100	Personal Services - Permanent	\$113,492	\$0	\$113,492
018	500106	Overtime	\$67,000	\$25,000	\$92,000
019	500105	Holiday Pay	\$49,500	\$0	\$49,500
020	500200	Current Expenses	\$78,100	\$21,000	\$99,100
022	500255	Rents-Leases Other Than State	\$726	\$0	\$726
023	500291	Heat, Electricity & Water	\$2,500	\$0	\$2,500
026	500251	Organizational Dues	\$500	\$0	\$500
030	500300	Equipment New/Replacement	\$116,358	\$249,000	\$365,358
039	500190	Telecommunications	\$700	\$0	\$700
049	500294	Transfers to Other State Agencies	\$3,409,592	\$0	\$3,409,592
050	500109	Personal Services-Temporary	\$55,000	\$15,000	\$70,000
060	500602	Benefits	\$108,555	\$3,060	\$111,615
070	500700	In-State Travel	\$30,000	\$0	\$30,000
080	500710	Out-of-State Travel	\$4,400	\$2,600	\$7,000
102	500731	Contracts for Program Services	\$53,500	\$0	\$53,500
217	502682	Inter-Agency Payments	\$700,000	\$0	\$700,000
		Total	\$4,789,923	\$315,660	\$5,105,583
REVENUES					
009	405928	Agency Income	\$4,789,923	\$315,660	\$5,105,583
		Total	\$4,789,923	\$315,660	\$5,105,583

REGION 1

629B Main Street
Lancaster, NH 03584-3612
(603) 788-3164
FAX (603) 788-4823
email: reg1@wildlife.nh.gov

REGION 2

PO Box 417
New Hampton, NH 03256
(603) 744-5470
FAX (603) 744-6302
email: reg2@wildlife.nh.gov

REGION 3

225 Main Street
Durham, NH 03824-4732
(603) 868-1095
FAX (603) 868-3305
email: reg3@wildlife.nh.gov

REGION 4

15 Ash Brook Court
Keene, NH 03431
(603) 352-9669
FAX (603) 352-8798
email: reg4@wildlife.nh.gov

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court

Her Excellency Governor Margaret Wood Hassan
and the Honorable Council
September 30, 2015
Page 2 of 2

EXPLANATION

Pursuant to RSA 215-A:23 IX, and RSA 215-C:39, X, "Any excess registration fees collected and not expended shall be non-lapsing and shall be retained by the snowmobile and OHRV program for future use." In each year of the biennium, the Fish and Game Department and the Department of Resources and Economic Development may expend the excess fees collected in the same proportion as described in this section with prior approval of the Fiscal Committee and the Governor and Council.

The Department's FY 2016 and FY 2017 budgets for OHRV enforcement, education and training (Accounting Unit 20-07500-11830000) are based upon available revenues to be received on 85,000 OHRV registrations. The average number of OHRV Registrations sold in a year over the last 5 years is 83,656. The Department budgets this amount to insure a level of OHRV fees is available. Fluctuations in activity when the level of sold registrations change from 96,361 in FY 2003 to a level of 71,966 in FY 2007 allow for unexpended OHRV fees to be available for subsequent fiscal years. This allows the Department to address fluctuations in the level of activity based on available riding opportunities, which are based on weather conditions. This request is to appropriate OHRV registration fees allocated to the New Hampshire Fish and Game Department. These funds will enable the Department to continue our enhanced snowmobile safety efforts on a statewide basis and to more effectively address the increased ATV Enforcement issues as part of the Conservation Officers' and Deputy Conservation Officers' assigned duties.

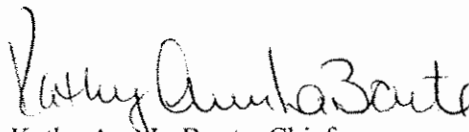
Equipment purchases will be for the replacement of Law Enforcement Division motor vehicles for Conservation Officers under a four to six year rotation. An analysis of motor vehicle use for OHRV Enforcement purposes has been conducted for the prior five-year period. Traditionally, the Department has used OHRV funds on a limited basis for the purchase of motor vehicles for Conservation Officers. Additionally, the department is planning to purchase snowmobiles and ATVs to replace older and high mileage inventoried equipment.

The increases in overtime and in personal services-temporary are related to both full time and part-time costs incurred due to an increase in classes needed to certify youths in OHRV safety programs and costs associated with vacancies in permanent employees as well as for increased law enforcement activities.

Respectfully submitted,



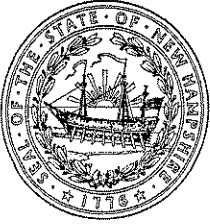
Glenn Normandeau
Executive Director



Kathy Ann LaBonte, Chief
Business Division

Fiscal Situation
OHRV Account 20-07500-11830000-009-405928

Unobligated Balance Forward 07/01/2015	515,014
Total Additions (Revenue Estimate)	4,721,214
Less Operating Budget Appropriations	(4,721,214)
Total	515,014
Ending Balance	515,014
Less Current Request	<u>(315,660)</u>
Ending Balance June 30, 2016	<u>199,354</u>



STATE OF NEW HAMPSHIRE
DEPARTMENT OF CORRECTIONS
DIVISION OF ADMINISTRATION

FIS 15 225

William L. Wrenn
Commissioner
Doreen Wittenberg
Director

PO BOX 1806
CONCORD, NH 03302-1806

603-271-5600 FAX: 603-271-5643
TDD Access: 1-800-735-2964
www.nh.gov/nhdoc

September 28, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, NH 03301

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Executive Council
State House
Concord, NH 03301

REQUESTED ACTION

Pursuant to the provision of RSA 622:28-a, V, the New Hampshire Department of Corrections respectfully requests permission to purchase a Refurbished M&R Renegade 4056 Flatbed Screen Printer not to exceed \$24,020. Funding for this purchase will be from the Correctional Industries' Revolving Account, effective upon Fiscal Committee and Governor and Executive Council approval through June 30, 2016. 100% Other Funds.

Funds are available in the SFY 2016 operating budget as follows: 02-46-46-462010-57310000 Department of Corrections, Prison Industries, Correctional Industries Invnty. 030-500326 Institutional Equip (Replace)

EXPLANATION

Pursuant to the provision of RSA 622:28-a, V, "any equipment purchase in excess of \$5,000 made under the provisions of this section shall require the prior approval of both the fiscal committee of the general court and the governor and council." The equipment to be purchased is a 40"x56" Precision Sliding Table Screen Printer.

This equipment is used by the NH Department of Corrections, Correctional Industries' Sign Shop located inside the New Hampshire State Prison for Men at 281 North State Street, Concord, NH. A screen printer allows for the application of inks to sign materials such as metals, woods and fabrics. It is used in over 40% of the signs manufactured in the sign shop. This acquisition will replace a Filbar 48" screen press from the 1970's that is broken and is beyond repair. Since the failure of the old screen press Correctional Industries has been forced to resort to the manual application of inks. The manual process is archaic, prone to errors, and is of much lower quality. The manual process is also much slower resulting in increased production times and lower overall shop output. It would be difficult for the Sign Shop to continue as a viable commercial operation without this piece of equipment.

In accordance with the provisions of RSA 21-I:11, IV, the Division of Plant and Property Management competitive bidding will be employed. A quote was received in the amount of \$24,020 from CGS Sales and Service., quote attached.

Areas Served: Statewide

Respectfully Submitted,

William L. Wrenn
Commissioner

CGS Sales & Service, LLC

6950 RIVER ROAD, PENNSAUKEN, NEW JERSEY, USA 08110
 PHONE 856-665-6154 / 800-662-6154 FAX 856-665-0725 E-MAIL: info@screenprintsresource.com
<http://www.screenprintsresource.com>

New Hampshire Correctional Industries
PO Box 14
Concord, NH 03301

Phone# 603-271-5600

QUOTATION NO. 7295B

DATE: 7/20/15

PAGE 1 OF 1 PAGE(S)

SALESPERSON: Tony Pernicello Jr.

WE ARE PLEASED TO SUBMIT THE FOLLOWING QUOTATION FOR YOUR CONSIDERATION:

QUANTITY	DESCRIPTION	AMOUNT
1	Refurbished M&R Renegade 4056 Flatbed Printer <u>Features Include:</u> - 40" x 56" Vacuum/Print Area - Maximum Frame Size 59" x 68" - Pop Up Pneumatic Registration Guides - Ink Dip Retrieval System - Optional Dripless Squeegee System - Brushless, frequency controlled AC Motors for smooth operation - Adjustable Pneumatic Squeegee Pressure Equalizer - Computerized Self-Diagnostic System w/ digital keypad - Upfront Stepper Peel Control - Squeegee and Flood Angle Adj. - Photo Electric Stroke Stop Sensors - Dwell Timer - Dual Foot Pedal for Pre Vacuum and Print Start - High Volume Vacuum System w/ Adjustable Blowback Setting - Air Locks for Frames, Squeegee & Floodbar - (1) Set Squeegee & Floodbar - Electrical: 220V, 3ph, 20 Amps, 50/60Hz - Foot Print Dimensions 80" x 77"	\$22,495.00
1	(1) Day training session on operation of above machine	\$ 800.00
	Shipping for above via dedicated carrier	\$ 725.00
	<u>Terms:</u> 25% down payment with purchase order 75% balance prior to shipping or pickup	
	<u>Warranty:</u> - 90 Days Limited Parts Warranty - - provided press is off loaded properly & electrical connection is made by licensed electrician properly and in correct terminals on machine	
DELIVERY:	F.O.B.:	SHIP VIA:
4 weeks	Pennsauken, NJ	Dedicated Carrier
		TERMS:
		See Above

PRICES QUOTED GOOD FOR ACCEPTANCE FOR 30 DAYS ONLY, UNLESS SUCH TIME IS EXTENDED IN WRITING.

RESPECTFULLY SUBMITTED,

Tony Pernicello Jr.

APPROVED BY:

TITLE LX

CORRECTION AND PUNISHMENT

CHAPTER 622

THE STATE PRISONS

Prison Labor and Its Products

Section 622:28-a

622:28-a Industries Inventory Account. –

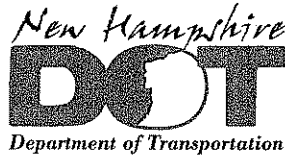
I. An industries inventory account shall be maintained to enable the state prisons to implement RSA 622:26-28. Except for permanent personnel, all operating expenses, materials, supplies, overtime and purchase and repair of equipment determined to be necessary for the growing or manufacture of products for resale shall be a proper charge against this account. Charges for the sale of goods and services produced by the industries program shall be sufficient to defray the expenditures charged against this account and any sums obtained therefrom shall be a credit to the account.

II. The state treasurer, upon presentation of manifests prepared by the commissioner of corrections and certified by the commissioner of administrative services, is authorized to pay for materials, supplies and equipment from any money in the treasury not otherwise appropriated.

III. The commissioner of corrections shall prepare a monthly profit and loss statement and at the end of each fiscal year shall file a report with the commissioner of administrative services in such format and containing such information as the commissioner of administrative services shall require. The commissioner of administrative services at the end of each fiscal year shall cause any profit which accrued during that year to lapse to the general fund.
[Omitted.]

V. All purchases of materials, supplies, and equipment into the inventory account shall be made in accordance with the provisions of RSA 21-I:11 and any equipment purchase in excess of \$5,000 made under the provisions of this section shall require the prior approval of both the fiscal committee of the general court and the governor and council.

Source. 1979, 268:1. 1985, 399:3, I. 1998, 386:9, 16, eff. Aug. 26, 1998.



THE STATE OF NEW HAMPSHIRE
DEPARTMENT OF TRANSPORTATION



William Cass, P.E.
Assistant Commissioner

September 28, 2015
Division of Project Development

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
State House
Concord, New Hampshire 03301

REQUESTED ACTION

Pursuant to Chapter 276:29, Laws of 2015, authorize the Department of Transportation to transfer \$1,500,000 between various accounts and classes effective upon Fiscal Committee and Governor and Council approval through June 30, 2016.

04-096-096-963515-3311 Non Par I-93	Current Budget FY2016	Requested Change	Revised Budget FY2016
Expenses:			
046 500463 Consulting	\$216,488	\$1,500,000	\$1,716,488
400 500870 Construction-Repairs & Materials	7,587,765	(1,500,000)	6,087,765
401 500877 Land Interest	750,000	0	750,000
Total	\$8,554,253	\$0	\$8,554,253
Source of Funds			
Revenue:			
009 405921 Agency Income	\$3,415,224	\$0	\$3,415,224
000 000015 Highway Fund	5,139,029	0	5,139,029
Total	\$8,554,253	\$0	\$8,554,253

EXPLANATION

The Department requests authorization to transfer budgeted account funds among the various accounts in order to pay for services incurred in meeting the State's transportation demands. Specific explanations relating to the Department's spending requests are as follows:

Non-Par I-93 (3311) 60.08% Highway Funds and 39.92% Agency Income

Class 046 Increase Consultants by \$1,500,000. The requested transfer is to align appropriations to accurately reflect the class line activity for transactions related to engineering projects within the State. No new consultants will be used.

Class 400 Decrease Construction Repairs by \$1,500,000. The requested transfer is to align appropriations to accurately reflect the class line activity for transactions related to engineering projects within the State.

The following is provided in accordance with the Budget Officer's instructional memorandum dated April 17, 1985 to support the above requested actions:

1. Does transfer involve continuing programs or one-time projects?
Transfers are for continuing programs (not one-time).
2. Is this transfer required to maintain existing program level or will it increase program level?
Transfers are to maintain existing program levels (no increase in program level).
3. Cite any requirements, which make this program necessary.
RSA 21-L:2, in part, establishes that the Department will be responsible for planning, developing, and maintaining a state transportation network. This transfer will facilitate the accomplishment of this responsibility.
4. Identify the source of funds on all accounts listed on this transfer.
Source of funds is Federal Funds, Highway Funds and Agency Income.
5. Will there be any effect on revenue if this transfer is approved or disapproved?
This transfer will have no effect on revenue.
6. Are funds expected to lapse if this transfer is not approved?
Should funds lapse as a result of not approving this request, such funds will lapse to their respective account fund balances.
7. Are personal services involved?
No new positions are requested with this transfer.

Your approval of this resolution is respectfully requested.

Sincerely,



William Cass, P.E.
Assistant Commissioner

Item #	Meeting	Department	Chapter / RSA Reference	General	Federal	Other	Total	Positions Established		Comments
								Full-Time	Part-Time	
FISCAL YEAR 2016										
15-138	July'15	Cultural Resources, Department of	RSA 14:30-a, VI; RSA 124:15	-	594,691	-	594,691		3	Authorizes 3 part time positions (grants coordinator and 2 program specialists)
15-167	Aug'15	Cultural Resources, Department of	RSA 14:30-a, VI; RSA 124:15	-	-	29,456	29,456			Extended authorization for consultants from 6/30/15 to 12/31/15.
		Cultural Resources, Department of Total		-	594,691	29,456	624,147	-	3	
15-141	July'15	Education, Department of	RSA 14:30-a, VI; RSA 124:15	-	1,084,997	-	1,084,997			Item extends the end date for 2 temporary full time positions (program specialist III and program assistant II) originally established in FIS 15-033
15-143	July'15	Education, Department of	RSA 14:30-a, VI; RSA 124:15	-	1,586,127	-	1,586,127			Item extends the end date for 3 temp full time (Administrator II, Program Specialist III, Program Assistant II) and one part time position (Program Specialist III) originally established in FIS 14-026

Item #	Meeting	Department	Chapter / RSA Reference	General	Federal	Other	Total	Positions Established		Comments
		Education, Department of Total		-	2,671,124	-	2,671,124	0	0	
15-117	July'15	Environmental Services, Department of	RSA 124:15	-	-	-	-			Item extends the end date for 5 temp full time positions (administrator IV, Administrator III, Civil Engineer VI, and 2 Environmentalist IV) originally established in FIS 13-246
		Environmental Services, Department of Total		-	-	-	-	0	0	
15-152	July'15	Governor's Office	RSA 14:30-a, VI; RSA 124:15	-	-	112,500	112,500			Item extends the end date for one non-classified full time position originally established in FIS 14-196
		Governor's Office Total		-	-	112,500	112,500	-	-	
15-120	July'15	DHHS - Office of the Commissioner	RSA 14:30-a, VI	-	124,150	34,328	158,478	-	-	
		DHHS - Office of the Commissioner Total		-	124,150	34,328	158,478	-	-	
15-122	Aug'15	DHHS - Division of Children, Youth and Families	RSA 14:30-a, VI	-	219,342	-	219,342	-	-	
		DHHS - Division of Children, Youth and Families Total		-	219,342	-	219,342	-	-	
15-123	July'15	DHHS - Division of Public Health Services	RSA 14:30-a, VI	-	1,636,364	-	1,636,364			
15-124	Aug'15	DHHS - Division of Public Health Services	RSA 14:30-a, VI	-	127,089	-	127,089			
15-169	Aug'15	DHHS - Division of Public Health Services	RSA 14:30-a, VI	-	1,724,196	-	1,724,196			
15-170	Aug'15	DHHS - Division of Public Health Services	RSA 14:30-a, VI	-	103,396	-	103,396			
15-171	Aug'15	DHHS - Division of Public Health Services	RSA 14:30-a, VI	-	1,067,592	-	1,067,592			

Item #	Meeting	Department	Chapter / RSA Reference	General	Federal	Other	Total	Positions Established		Comments
15-172	Aug'15	DHHS - Division of Public Health Services	RSA 14:30-a, VI; RSA 124:15	-	257,214	-	257,214	-	-	Item extends the end date for 3 positions (a senior management analyst and two program planner III) originally approved with FIS 15-002
DHHS - Division of Public Health Services Total				-	4,915,851	-	4,915,851	-	-	
15-139	July'15	DHHS - Office of Medicaid Business and Policy	RSA 14:30-a, VI	-	2,500,000	-	2,500,000	-	-	
DHHS - Office of Medicaid Business and Policy Total				-	2,500,000	-	2,500,000	-	-	
15-153	July'15	Insurance Department	RSA 14:30-a, VI; RSA 124:15	-	444,179	-	444,179	-	-	Item extends the end date for consultants established in FIS 14-174
15-154	July'15	Insurance Department	RSA 14:30-a, VI; RSA 124:15	-	1,055,985	-	1,055,985	-	-	Item extends the end date for consultants established in FIS 13-247
15-155	July'15	Insurance Department	RSA 14:30-a, VI; RSA 124:15	-	529,678	-	529,678	-	-	Item provides approval for establishing consultant positions
Insurance Department Total				-	2,029,842	-	2,029,842	-	-	
15-114	July'15	Justice, Department of	RSA 14:30-a, VI; RSA 124:15	-	106,177	-	106,177	-	-	Item provides approval for establishing consultant positions
15-118	July'15	Justice, Department of	RSA 124:15	-	-	-	-	-	-	Item establishes one part time program specialist IV position
15-194	Sept'15	Justice, Department of	RSA 14:30-a, VI; RSA 124:15	-	-	-	-	1	-	Item establishes one temp full time planning analyst (LG 24) position and approval for establishing consultant position

Item #	Meeting	Department	Chapter / RSA Reference	General	Federal	Other	Total	Positions Established		Comments
		Justice, Department of Total		-	106,177	-	106,177	1	-	
15-137	July'15	Pharmacy, Board of	RSA 124:15	-	-	-	-			end date for one temp full time Administrator I and one part time Administrator I as contained in FIS 14-015 and FIS 13-164
		Pharmacy, Board of Total		-	-	-	-	-	-	
15-178	Aug'15	Resources and Economic Development, Department of	RSA 14:30-a, VI	-	-	109,020	109,020			
15-179	Aug'15	Resources and Economic Development, Department of	RSA 14:30-a, VI	-	-	189,276	189,276			
15-181	Aug'15	Resources and Economic Development, Department of	RSA 14:30-a, VI; RSA 124:15	-	319,848	-	319,848			Item provides approval for establishing consultant position of consortium manager
15-193	Sept'15	Resources and Economic Development, Department of	RSA 14:30-a, VI	-	199,878	-	199,878			
		Resources and Economic Development, Department of Total		-	519,726	298,296	818,022	-	-	
15-133	July'15	Safety, Department of	RSA 124:15	-	-	-	-			Item extends the end date for consultant positions originally contained in FIS 14-203
15-134	July'15	Safety, Department of	RSA 124:15	-	-	-	-			Item extends the end date for consultant positions originally contained in FIS 15-032

Item #	Meeting	Department	Chapter / RSA Reference	General	Federal	Other	Total	Positions Established	Comments
15-144	July'15	Safety, Department of	RSA 124:15	-	-	-	-		Item extends the end date for consultant positions originally contained in FIS 14-152
15-132	Aug'15	Safety, Department of	RSA 14:30-a, VI; RSA 124:15	-	870,841	-	870,841		Item provides approval for establishing consultant positions
15-164	Aug'15	Safety, Department of	RSA 14:30-a, VI	-	4,439,989	-	4,439,989		
15-165	Aug'15	Safety, Department of	RSA 14:30-a, VI	-	2,237,568	-	2,237,568		
15-166	Aug'15	Safety, Department of	RSA 14:30-a, VI	-	554,499	-	554,499		
15-195	Sept'15	Safety, Department of	RSA 14:30-a, VI; RSA 124:15	-	7,747,351	-	7,747,351	2	Item provides approval to establish 2 temporary positions
		Safety, Department of Total		-	15,850,248	-	15,850,248	-	2
15-177	Aug'15	Transportation, Department of	RSA 14:30-a, VI	-	-	750,000	750,000		
15-188	Sept'15	Transportation, Department of	RSA 14:30-a, VI	-	300,000	-	300,000		
		Transportation, Department of Total		-	300,000	750,000	1,050,000	-	-
		FY 16 Total		-	29,831,151	1,224,580	31,055,731	1	5

JOINT LEGISLATIVE FACILITIES COMMITTEE
 LEGISLATIVE BRANCH
 DETAIL OF BALANCE OF FUNDS AVAILABLE
 FISCAL YEAR 2016
 As of 09/30/2015

Legislative Branch:	Org/ Class	Balance Forward	Appropriation	Income	Transfers	Expenditures	Encumb rances	Balance Available
Senate:	1170							
Personal svcs. - members	011		3,410.50					3,410.50
Personal svcs. - nonclassi	016		867,962.00			392,708.51		475,253.49
Current expenses	020		22,154.00			2,302.69		19,851.31
Rents-Leases other than state	022		4,750.00			1,636.10		3,113.90
Equipment	030		500.00					500.00
Telecommunications	039		12,096.00			3,576.44		8,519.56
Legal svcs.& consultants	046		38,500.00			15,000.00		23,500.00
Personal svcs. - temp/app	050		52,459.50			95.88		52,363.62
Benefits	060		305,845.00			150,575.04		155,269.96
Employee training	066		50.00					50.00
Travel:								
In state	070		77,500.00			22,587.87		54,912.13
Out of state	080		5,750.00			892.51		4,857.49
President's discretionary fund	285		2,249.50			48.00		2,201.50
Contingency	289		0.50					0.50
Total		0.00	1,393,227.00	0.00	0.00	589,423.04	0.00	803,803.96

Legislative Branch - continued:	Org/ Class	Balance		Income	Transfers	Expenditures	Encumb rances	Balance
		Forward	Appropriation					Available
House	1180							
Personal srvs. - members	011		42,500.00			200.00		42,300.00
Personal srvs. - nonclassi	016		827,434.50			346,140.10		481,294.40
Current expenses	020		27,500.00			5,702.97		21,797.03
Rents-Leases Other than State	022		2,100.00			884.32		1,215.68
Maint. Other than bldg/grnd	024	23,556.38	3,000.00				23,556.38	3,000.00
Equipment	030		1,500.00					1,500.00
Telecommunications	039		15,000.00			5,722.44		9,277.56
Consultants	046		40,000.00					40,000.00
Personal srvs. - temp/app	050		131,113.00			20,932.65		110,180.35
Benefits	060		415,501.00			135,326.38		280,174.62
Employee training	066		150.00					150.00
Travel:								
In state	070		550,000.00			71,017.74		478,982.26
Out of state	080		50,000.00			26,122.22		23,877.78
Speaker's special fund	286		3,000.00			401.57		2,598.43
Democratic Leader's Account	287		1,750.00			1,123.50		626.50
Republican Leader's Account	288		1,750.00			50.00		1,700.00
Total		23,556.38	2,112,298.50	0.00	0.00	613,623.89	23,556.38	1,498,674.61

Legislative Branch - continued:		Balance					Encumb	Balance
		Forward	Appropriation	Income	Transfers	Expenditures	rances	Available
Operations	1160							
Personal svcs. - nonclassi	016		109,922.00			49,793.46		60,128.54
Current expenses	020		1,500.00			66.49		1,433.51
Telecommunications	039		4,500.00			1,740.63		2,759.37
Benefits	060		77,172.50			28,548.26		48,624.24
Total		0.00	193,094.50		0.00	80,148.84	0.00	112,945.66
Joint Expenses	8677							
Current expenses	020		25,000.00			948.54		24,051.46
Rents-Leases Other Than State	022		5,000.00			2,786.43		2,213.57
Organizational Dues	026		64,000.00			64,000.00		0.00
Equipment New/Replacement	030		5,000.00			249.00		4,751.00
Consultants	046		1,500.00					1,500.00
Transfer to Other State Agencies	049		1,500.00			1,500.00		0.00
Legislative Printing & Binding	290		142,500.00			15,787.80		126,712.20
Joint Orientation	291		5,500.00					5,500.00
Total		0.00	250,000.00	0.00	0.00	85,271.77	0.00	164,728.23
Less estimated Revenue		-2,050.65	-6,000.00	939.86	(A)			-7,110.79
Total		-2,050.65	244,000.00	939.86	0.00	85,271.77	0.00	157,617.44
Joint Legislative Historical Committee	8870-216	128,126.91	10,000.00			4,240.00		133,886.91
Flag Preservation Revenue	8870-3586	7,949.20						7,949.20
Total		136,076.11	10,000.00	0.00	0.00	4,240.00	0.00	141,836.11

Legislative Branch - continued:		Balance Forward	Appropriation	Income	Transfers	Expenditures	Encumb rances	Balance Available
Visitor's Center:		1229						
Personal srvs. - nonclassi	016		49,983.50			24,590.37		25,393.13
Current Expenses	020		375.00			57.71		317.29
Telecommunications	039		550.00			103.79		446.21
Benefits	060		27,486.50			12,116.55		15,369.95
Total		0.00	78,395.00		0.00	36,868.42	0.00	41,526.58
Visitor's Ctr. Revolving Fund (G)		1230						
Souvenir Purchases	106	7,100.70	0.00		42,873.51	4,784.05		45,190.16
Revenue	2016	42,873.51	0.00	10,457.82	(42,873.51) (B)			10,457.82
Total		49,974.21	0.00	10,457.82	0.00	4,784.05	0.00	55,647.98
Legislative Accounting:		1166						
Personal srvs. - nonclassi	016		103,792.50			51,306.56		52,485.94
Current expenses	020		750.00			101.59		648.41
Telecommunications	039		450.00			163.68		286.32
Benefits	060		46,930.00			17,549.75		29,380.25
Total		0.00	151,922.50		0.00	69,121.58	0.00	82,800.92
General Court Info. Systems:		4654						
Personal srvs. - nonclassi	016		194,372.00			76,830.86		117,541.14
Current expenses	020		16,000.00			3,029.63		12,970.37
Technology - Hardware	037		40,000.00			1,756.72		38,243.28
Technology - Software	038		45,000.00			327.95	386.50	44,285.55
Telecommunications	039		1,250.00			341.01		908.99
Benefits	060		94,264.00			40,054.83		54,209.17
Total		0.00	390,886.00		0.00	122,341.00	386.50	268,158.50

Legislative Branch - continued:	Org/ Class	Balance				Encumb rances	Balance Available
		Forward	Appropriation	Income	Transfers		
Protective Services:	1164						
Personal svcs. - nonclassi	016		187,552.50			91,935.41	95,617.09
Current expenses	020		1,350.00				1,350.00
Telecommunications	039		2,150.00			389.38	1,760.62
Benefits	060		110,213.50			46,896.69	63,316.81
Total		0.00	301,266.00		0.00	139,221.48	162,044.52
Health Services:	1165						
Current expenses	020		750.00			298.27	451.73
Telecommunications	039		250.00			61.27	188.73
Personal svcs. - temp/app	050		29,927.50			7,723.35	22,204.15
Benefits	060		2,289.50			590.83	1,698.67
Total		0.00	33,217.00		0.00	8,673.72	24,543.28
Legislative Services:	1270						
Personal svcs. - nonclassi	016		796,654.50			375,065.52	421,588.98
Current expenses	020		9,650.00			2,547.79	7,102.21
Rents-Leases other than State	022		2,750.00			901.34	1,848.66
Telecommunications	039		3,500.00			1,534.10	1,965.90
Personal svcs. - temp/app	050		12,500.00			2,934.26	9,565.74
Benefits	060		399,547.50			158,441.74	241,105.76
Employee training	066		750.00				750.00
Printing and binding	290		4,000.00			1,648.46	2,351.54
Total		0.00	1,229,352.00		0.00	543,073.21	686,278.79
Less estimated revenue	009/2045	170.68	-500.00	325.00	©		-4.32
Total		170.68	1,228,852.00	325.00 ©	0.00	543,073.21	686,274.47

Legislative Branch - continued:		Balance Forward	Appropriation	Income	Transfers	Expenditures	Encumb rances	Balance Available
Budget Division:	1221							
Personal svcs. - nonclassi	016		376,445.50		215,000.00	367,958.05		223,487.45
Current expenses	020		5,483.50			198.49		5,285.01
Rents-Leases other than State	022		3,000.00			1,268.25		1,731.75
Organizational Dues	026		50.00					50.00
Equipment	030		1,250.00					1,250.00
Telecommunications	039		1,516.50			744.51		771.99
Consultants	046		7,500.00			188.00		7,312.00
Personal svcs. - temp/app	050		44,027.50		(40,000.00)			4,027.50
Benefits	060		121,091.50		135,000.00	104,601.73		151,489.77
Employee training	066		1,750.00					1,750.00
In state travel	070		250.00					250.00
Out of state travel	080		50.00					50.00
Total		0.00	562,414.50		310,000.00	474,959.03	0.00	397,455.47

Legislative Budget Assistant:

Audit Division:	1222							
Personal svcs. - nonclassi	016		1,038,075.00		(90,000.00)	430,711.63		517,363.37
Current expenses	020		6,430.00			2,854.23		3,575.77
Rents-Leases other than State	022		50,000.00			48,762.00		1,238.00
Equipment	030		10,000.00					10,000.00
Telecommunications	039		1,020.00			411.48		608.52
Consultants	046		285,000.00		65,000.00	113,300.00		236,700.00
Personal svcs. - temp/app	050		24,974.00					24,974.00
Benefits	060		407,302.00		25,000.00	171,355.81		260,946.19
Employee training	066		20,000.00			1,570.00		18,430.00
In state travel	070		7,500.00			435.45		7,064.55
Out of state travel	080		50.00					50.00
Total		0.00	1,850,351.00	0.00	0.00	769,400.60	0.00	1,080,950.40
Less estimated revenue	006/1251	559,023.00	-244,102.50		(310,000.00) (D)			4,920.50
Total		559,023.00	1,606,248.50	0.00	(310,000.00)	769,400.60	0.00	1,085,870.90

Total		766,749.73	8,305,821.50	11,722.68	0.00	3,541,150.63	23,942.88	5,519,200.40
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- (A) Proceeds from the sale of legislative subscriptions, advance sheets, permanent journals, and rosters, and royalties from Lexis Law Publishing.
- (B) Pursuant to Chapter 177:151 - State House Visitor's Center Revolving Fund established - Proceeds from sales of souvenirs and expenditures from souvenir purchases transferred to V.C. Revolving account effective 10/18/06.
- (C) Proceeds from sales of photocopies and rulemaking registers.
- (D) Auditing fees



State of New Hampshire
DEPARTMENT OF ADMINISTRATIVE SERVICES
 OFFICE OF THE COMMISSIONER
 25 Capitol Street – Room 120
 Concord, New Hampshire 03301

VICKI V. QUIRAM
 Commissioner
 (603)-271-3201

JOSEPH B. BOUCHARD
 Assistant Commissioner
 (603)-271-3204

September 15, 2015

The Honorable Neal M. Kurk, Chairman
 Fiscal Committee of the General Court
 State House
 Concord, New Hampshire 03301

Her Excellency, Governor Margaret Wood Hassan
 and the Honorable Council
 State House
 Concord, New Hampshire 03301

INFORMATIONAL ITEM

Pursuant to RSA 21-l: 19 – h, IV, Disposal of State-Owned Vehicles Based on Non-business Use, and as adjusted by Fiscal Item number 11-335 (December 2, 2011) the Department of Administrative Services (DAS) is submitting the report of all vehicles which have non-business use exceeding 20% for Fiscal Year 2015.

RSA 21-l: 19 – h, Disposal of State-Owned Vehicles Based on Non-business Use requires each agency to report any non-business use on their vehicles quarterly and annually. It also requires the Commissioner of Administrative Services to report annually to the Fiscal Committee and Governor and Council regarding any vehicles which exceed 20% non-business use. These vehicles are eligible for redistribution by the Director of Procurement and Support Services unless the agency submits and receives a waiver from the Vehicle Utilization Committee (VUC). The VUC has the authority to grant a waiver for a vehicle exceeding 20% non-business use if it is deemed to be in the best interest of the state.

Non-business use was first recorded at the vehicle level in Fiscal Year 2011. Subsequently, in Fiscal Year 2012, the state made great strides in reducing non-business miles; the state was able to reduce non-business miles by 624,378 miles that year. Agencies have continued these efforts and have reduced the number of vehicles which exceed the 20% threshold from 131 vehicles in 2012 to 47 vehicles, and reduced the mileage of these vehicles by 772,885 miles. Since Fiscal Year 2011 agencies have been able to reduce all non-business mileage by 1,278,099 miles.

This informational item details the following:

1. Executive Summary – Data summary of all vehicles exceeding 20% non-business use, agency waivers requested and the VUC's decision on requested waivers.
2. Exhibit A – Non-business Use Report Fiscal Year 2015 – all vehicles which exceeded 20% non-business use in FY2014.

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Council
September 15, 2015
Page 2 of 2

3. Exhibit B –Voting Matrix – the VUC's voting results for each waiver requested.

Vehicle information referenced and contained in the attachments is supported by each agency's FY2015 Motor Vehicle Record Reports.

Respectfully submitted,



Vicki V. Quiram
Commissioner

NBU Report Executive Summary
Agency Impact

As of: 9/10/2015

Agency	Total Vehicles in Agency Fleet*	# of Vehicles Exempt (Law Enforcement)	Count of Vehicles Impacted by RSA 21-I: 19-h	# Vehicles Greater than 20% NBU	% of Fleet Above 20% NBU	# of Waivers Approved	# of Vehicles Redistributed
Adjutant General	7	0	7	0	0%		
Administrative Services	28	0	28	0	0%		
Agriculture	24	0	24	0	0%		
Banking Commission	1	0	1	0	0%		
Corrections (Including Correctional Industries)	54	0	54	1	2%	1	
Cosmetology	2	0	2	0	0%		
Cultural Resources	7	0	7	0	0%		
DRED	138	15	123	6	5%	6	
Education	1	0	1	0	0%		
Employment Security	4	0	4	0	0%		
Energy and Planning	2	0	2	0	0%		
Environmental Services	90	0	90	2	2%	2	
Fish & Game	123	49	74	0	0%		
Health and Human Services	85	0	85	0	0%		
Highway Safety	1	0	1	0	0%		
Insurance	2	0	2	0	0%		
Joint Board	4	0	4		0%		
Justice	31	31	0	0	0%		
Labor	29	0	29	0	0%		
Liquor Commission	40	21	19	0	0%		
Lottery Commission	15	0	15	0	0%		
Pharmacy	2	0	2	0	0%		
Police Standards and Training Council	13	0	13	0	0%		
Public Utilities Commission	2	0	2	0	0%		
Racing and Charitable Gaming	4	0	4	0	0%		
Recreation	19	0	19	0	0%		
State Police	172	65	107	3	3%	3	
State Police	446	415	31	0	0%		
Secretary of State / Archives & Records	5	0	5	0	0%		
Transportation	420	0	420	35	8%	35	
Veteran's Home	7	0	7	0	0%		
Veteran's Services	3	0	3	0	0%		
Totals:	1781	596	1185	47	4%	47	0

Note: 5 of 5 voters have responded; the totals above reflect the final tally of those votes.

*Fleet includes PassAUTOs, LDT1, and LDT2. These are the types of vehicles which reported non-business use exceeding 20%

**Exhibit A
Non Business Use Report**

FY2015 Non Business Use Report

Line #	Agency Name	Fleet Unit Subtype	Plate_or_ID	Model Year	Make	Model	% Non-Business Miles of Total Miles Traveled	Waiver Denied
1	Corrections, Department of	PassAUTO	COR71	2007	Dodge	Charger	33.00%	
2	DRED (Resources & Economic Development)	PassAUTO	D80	2010	Chevrolet	Impala LS	71.44%	
3	DRED (Resources & Economic Development)	LDT1	D292	2013	Ford	F150 XL	41.15%	
4	DRED (Resources & Economic Development)	PassAUTO	D20	2007	Chevrolet	Malibu LS	36.47%	
5	DRED (Resources & Economic Development)	PassAUTO	D477	2008	Ford	Fusion I4	34.80%	
6	DRED (Resources & Economic Development)	LDT1	D11	2014	Ford	Explorer	33.92%	
7	DRED (Resources & Economic Development)	LDT1	D314	2012	Ford	F150 XL	28.07%	
8	Environmental Services, Department of	LDT2	ES122	2007	Ford	4x4 Pickup	26.74%	
9	Environmental Services, Department of	LDT2	ES119	2012	Ford	F-350	20.92%	
10	Safety, Department of	LDT1	5033	2014	JEEP	PATRIOT	59.16%	
11	Safety, Department of	LDT1	4924	2013	JEEP	PATRIOT	43.31%	
12	Safety, Department of	LDT1	4895	2012	JEEP	LIBERTY	20.49%	
13	Transportation	LDT2	H01547	2008	FORD	F250 X-CAB	67.88%	
14	Transportation	LDT2	H01933	2011	FORD	F250 X-CAB	65.48%	
15	Transportation	LDT2	H01592	2008	FORD	F250 X-CAB	53.87%	
16	Transportation	LDT2	H01391	2006	CHEVROLET	2500HD/ XCAB	53.73%	
17	Transportation	LDT2	H01526	2005	CHEVROLET	2500HD/ XCAB	53.03%	
18	Transportation	LDT2	H01967	2011	CHEVROLET	2500HD	53.01%	
19	Transportation	PassAUTO	H00113	2007	CHEVROLET	MALIBU	50.62%	
20	Transportation	LDT1	H01978	2006	FORD	F150	50.59%	
21	Transportation	LDT1	H01979	2011	FORD	F150	50.08%	
22	Transportation	PassAUTO	H00114	2006	CHEVROLET	MALIBU	49.73%	
23	Transportation	LDT2	H01965	2011	FORD	F250 X-CAB	47.58%	
24	Transportation	PassAUTO	H00115	2006	CHEVROLET	MALIBU	39.42%	
25	Transportation	LDT2	H01964	2011	FORD	F250 X-CAB	36.92%	
26	Transportation	PassAUTO	H00116	2010	FORD	FUSION	36.58%	
27	Transportation	LDT2	H01963	2011	CHEVROLET	2500HD	36.36%	
28	Transportation	LDT2	H00294	2015	FORD	F250 X-CAB	33.26%	
29	Transportation	LDT2	H00318	2015	FORD	F250 X-CAB	31.74%	
30	Transportation	LDT1	H01925	2007	FORD	F150	31.44%	
31	Transportation	LDT2	H01556	2008	FORD	F250 X-CAB	31.43%	
32	Transportation	LDT2	H01348	2006	CHEVROLET	2500HD/ XCAB	30.50%	
33	Transportation	PassAUTO	H00180	2005	CHEVROLET	MALIBU	29.66%	
34	Transportation	LDT2	H01395	2011	CHEVROLET	2500HD	28.56%	
35	Transportation	PassAUTO	H00130	2006	CHEVROLET	MALIBU	27.34%	
36	Transportation	LDT2	H01554	2008	FORD	F250 X-CAB	27.05%	
37	Transportation	LDT2	H01367	2008	FORD	F250 X-CAB	26.11%	
38	Transportation	LDT2	H01394	2008	FORD	F250 X-CAB	24.87%	
39	Transportation	LDT2	H00317	2008	FORD	F250 X-CAB	22.80%	
40	Transportation	LDT2	H01370	2011	CHEVROLET	2500HD	22.32%	
41	Transportation	PassAUTO	H00007	2003	CHEVROLET	MALIBU	21.61%	
42	Transportation	LDT2	H01534	2014	FORD	F250 X-CAB	21.40%	
43	Transportation	PassAUTO	H00126	2005	CHEVROLET	MALIBU	20.91%	
44	Transportation	LDT2	H01590	2008	FORD	F250 X-CAB	20.61%	
45	Transportation	LDT2	H01359	2008	FORD	F250 X-CAB	20.49%	
46	Transportation	LDT2	H01337	2011	CHEVROLET	2500HD	20.43%	
47	Transportation	PassAUTO	H00152	2011	FORD	FUSION	20.26%	

Exhibit B
VUC NBU Voting Matrix

Note: 1 is for Approval; 0 is for denial

Line #	Agency Name	Plate or ID	V. Quiram	L. Pollard	P. McKenna	K. O'Brien	S. Carlson	Total	Repurposed?
1	Corrections, Department of	COR71	1	1	1	1	1	5	
2	DRED (Resources & Economic Development)	D80	1	0	0	1	1	3	
3	DRED (Resources & Economic Development)	D292	1	1	1	1	1	5	
4	DRED (Resources & Economic Development)	D20	1	0	1	1	1	4	
5	DRED (Resources & Economic Development)	D477	1	0	1	1	1	4	
6	DRED (Resources & Economic Development)	D11	1	1	1	1	1	5	
7	DRED (Resources & Economic Development)	D314	1	1	1	1	1	5	
8	Environmental Services, Department of	ES122	1	1	1	1	1	5	
9	Environmental Services, Department of	ES119	1	1	1	1	1	5	
10	Safety, Department of	5033	1	0	1	1	1	4	
11	Safety, Department of	4924	1	0	1	1	1	4	
12	Safety, Department of	4895	1	1	1	1	1	5	
13	Transportation	H01547	1	1	1	1	1	5	
14	Transportation	H01933	1	1	1	1	1	5	
15	Transportation	H01592	1	1	1	1	1	5	
16	Transportation	H01391	1	1	1	1	1	5	
17	Transportation	H01526	1	1	1	1	1	5	
18	Transportation	H01967	1	1	1	1	1	5	
19	Transportation	H00113	1	1	1	1	1	5	
20	Transportation	H01978	1	1	1	1	1	5	
21	Transportation	H01979	1	1	1	1	1	5	
22	Transportation	H00114	1	1	1	1	1	5	
23	Transportation	H01965	1	1	1	1	1	5	
24	Transportation	H00115	1	1	1	1	1	5	
25	Transportation	H01964	1	1	1	1	1	5	
26	Transportation	H00116	1	1	1	1	1	5	
27	Transportation	H01963	1	1	1	1	1	5	
28	Transportation	H00294	1	1	1	1	1	5	
29	Transportation	H00318	1	1	1	1	1	5	
30	Transportation	H01925	1	1	1	1	1	5	
31	Transportation	H01556	1	1	1	1	1	5	
32	Transportation	H01348	1	1	1	1	1	5	
33	Transportation	H00180	1	1	1	1	1	5	
34	Transportation	H01395	1	1	1	1	1	5	
35	Transportation	H00130	1	1	1	1	1	5	
36	Transportation	H01554	1	1	1	1	1	5	
37	Transportation	H01367	1	1	1	1	1	5	
38	Transportation	H01394	1	1	1	1	1	5	
39	Transportation	H00317	1	1	1	1	1	5	
40	Transportation	H01370	1	1	1	1	1	5	
41	Transportation	H00007	1	1	1	1	1	5	
42	Transportation	H01534	1	1	1	1	1	5	
43	Transportation	H00126	1	1	1	1	1	5	
44	Transportation	H01590	1	1	1	1	1	5	
45	Transportation	H01359	1	1	1	1	1	5	
46	Transportation	H01337	1	1	1	1	1	5	
47	Transportation	H00152	1	1	1	1	1	5	
Vote Totals:			47	42	46	47	47		



New Hampshire Fish and Game Department

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Glenn Normandeau
Executive Director

September 17, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
107 North Main Street
Concord, NH 03301-4906

INFORMATIONAL ITEM

In accordance with RSA 214:1-f.X., Annual Report: Wildlife Habitat Fund, the Department is submitting the following report for Fiscal Year 2015:

020-075-21550000 Wildlife Habitat Account

Balance forward from Fiscal Year 2014	\$ 759,441.84
Plus: Revenue – Fiscal Year 2015	+ \$ 1,193,978.46
Federal Funds	\$812,810.02
CT Lakes Endowment	\$ 35,000.00
Stamps and Prints	\$323,109.09
Timber Revenue	\$ 21,944.48
GRP Mitigation	\$ 366.83
Interest	\$ 748.04
Less: Expenditures – (see detail following)	- \$ 1,090,468.72
Less: Encumbrances	- \$ 12,235.00
Account Balance available June 30, 2015:	\$ 850,716.58
Less: Funds committed but not encumbered	
Small Grants Program (FY 09 – 15)	- \$ 8,907.00
Less: Granite Reliable Power mitigation funds	
Restricted use per SEC permit conditions	- \$ 102,200.00
Actual Balance available June 30, 2015:	\$ 739,609.58

Respectfully submitted,


Glenn Normandeau
Executive Director

A summary of expenditures by expense class for the Wildlife Habitat Account (Org. 2155) during fiscal years 2010 - 2015.

WILDLIFE HABITAT ACCOUNT EXPENDITURES (\$)						
FISCAL YEARS 2009-2015						
CLASS	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015
010 Personnel Costs	32,336.70	34,953.60	37,685.25	36,410.00	87,933	92,100.47
020 Current Expense	785.89	866.38	1,000.00	197.86	762.72	239,28
030 Equipment	00.00	00.00	9,117.00	361.96	0.00	0.00
033 Land Acquisition	4,939.55	00.00	00.00	00.00	0.00	0.00
041 Audit Funds	24.00	24.00	68.00	68.00	145.00	147.00
049 Transfers to Agencies	00.00	00.00	00.00	00.00	25,832.46	42,167.54
050 Temporary Staff	00.00	00.00	00.00	00.00	0.00	0.00
060 Benefits	11,964.49	13,175.10	13,410.56	13,992.33	40,720.13	40,620.95
070 In State Travel	00.00	00.00	00.00	00.00	95.00	00.00
073 Nonfederal Grants	35,556.85	39,531.00	34,875.50	28,014.90	8,863	2,895.00
080 Out of State Travel	1,609.40	987.67	485.00	234.52	604.18	1,467.16
217 Inter Agency Transfers	27,704.00	13,614.34	24,142.85	16,617.83	11,416.80	20,861.75
304 Research & Management	50,387.10	59,366.11	70,182.31	112,214.86	155,730.13	155,372.64
305 Acquisition & Manage	225,368.09	30,042.44	440,814.95	899,312.84	289,801.73	734,596.93
Total Expenditure	390,676.02	195,560.64	631,781.42	1,107,425.10	621,904.15	1,090,468.72

Habitat Stamp Revenue*	151,729	136,143	218,845	159,044	237,197.11	323,109.09
Total Revenue	306,240	1,168,202	350,062	481,153	825,252.42	1,193,978.46
Habitat Acct. Ending Balance	474,443	1,432,979	1,178,866	508,164	694,485.70	850,716.58

*Includes stamp and other revenue deposited into the 2155-08 state revenue line.

Habitat Stamp Revenue By Calendar Year	2009	2010	2011	2012	2013	2014
Stamp Revenue	\$144,703	\$140,475	\$136,688	\$141,868	\$145,328	\$142,900

2015 data will be available upon completion of the 2015 calendar year.

FY 2015 Habitat Account Class 304 Expenditures

Public Lands Habitat Restoration & Management

Habitat Projects	\$ 21,520.00
Infrastructure	\$110,544.53
Gates, Signs, & Kiosks	\$ 20,588.42
Supplies and Repairs	\$ 2,719.69

TOTAL **\$155,372.64**

Habitat projects included four commercial timber sales, an invasive exotic plant control project, creation of two wildlife openings, a field reclamation project, two plantings to improve food and cover crops, and 140 acres of field mowing.

Infrastructure projects included the replacement of two undersized stream crossings on the Connecticut Lakes Natural Area (CLNA) with bridges that will provide long term management and recreational access, but also allow effective passage of fish and other aquatic organisms. This comprised the majority of FY15 infrastructure costs and was in addition to two other stream crossings that were replaced in FY14. The majority of the costs associated with these stream crossing were reimbursed by a 15 Mile Falls Mitigation and Enhancement Fund grant. Other infrastructure projects included brushing back roads on the CLNA, new parking areas and gates at Kearsarge WMA and Cascade Marsh WMA, and replacing gates at Piscassic WMA and Lamontagne WMA.

State lands and Facilities Construction and Lands staff built 11 WMA signs that will be installed at several WMAs early during FY 16. Twelve signs built in FY 14 were installed during FY 15. Kiosks and information panels were also designed, built and installed at the Bellamy WMA (Dover), Deer Hill WMA (Brentwood), and Lower Shaker WMA (Enfield). The existing kiosks at Adams Point WMA (Durham) and Muchyedo Banks WMA (Canterbury) were repaired. Kiosks were also built for Ellis Hatch Jr WMA (New Durham), Conner Farm WMA (Exeter), Henry Laramie WMA (Enfield), Fort Hill WMA (Stratford), and Upper Ammonoosuc WMA (Stark). These kiosks will be installed during FY 16, upon completion of information panels. Much of the funding for WMA signs and kiosks came from a grant provided by the Wildlife Heritage Foundation of NH. Other costs included supplies, parts and services for the Division's tractor and brush hog used to maintain 100-150 acres of old fields annually, as well as chainsaw repairs.

As with any large landowner, state lands staff had to deal with a variety of land stewardship issues from enhancing wildlife habitats to dealing with illegal dumping. During FY 15 staff worked to resolve unauthorized construction of a pedestrian trail by an abutter at the Cochecho River WMA (Dover), cleaned up dumped debris and a fire pit at Morrill Pond WMA (Canterbury), investigated a boundary line encroachment at Ellis Hatch Jr WMA (New Durham), worked with an abutter to remove a portion of a dog kennel built on the Merrymeeting Marsh WMA (New Durham), repaired a breach in an ATV barrier at the Dumpling Brook WMA (Merrimack), reviewed a request for a new snowmobile trail on New Hampton Fish Hatchery lands (New Hampton), reviewed requests to clear hazard trees along powerline ROWs that traverse WMAs, and worked with a snowmobile club to repair and allow use of an existing building as a warming hut at Clarada WMA (Ellsworth).

FY 2015 Habitat Account Class 305 Expenditures

Public Lands Habitat Acquisition & Management

Land Conservation Projects	\$689,561.30
Surveys and Other	\$ 45,035.63
TOTAL	\$734,596.93

Land conservation is a core part of the Department's mission. It ensures long term protection of habitats for a wide range of species and provides access to the public for wildlife related recreation. Nearly all of the purchases of land interests, whether fee title or conservation easement, involve the use of funds from the Wildlife Restoration Program of the US Fish and Wildlife Service. However, the Department also acquires properties in several other ways. In recent years we have accepted properties that were protected as mitigation for environmental impacts associated with development. Lands have been donated or bequeathed to the Department and have been transferred to the Department from other land conservation partners.

Lands to be purchased are assessed by criteria developed by the Department to ensure that we are using our limited funds to gain the best outcomes for wildlife. The criteria include the size of the parcel, its connectivity with other conservation lands and quality and diversity of the habitat found on the property.

While the actual land purchase price is the largest expense associated with a project, the due diligence work required for any real estate transaction make up the remaining project costs. These activities include appraisal and appraisal review (a requirement when using federal funds), environmental hazards assessment, legal work, title insurance and property surveys. The itemized expense table found on the next page breaks down the costs for each of these expense areas.

During fiscal year 2015 we have focused on enhancing the Wildlife Management Area system across the state. Two out of four of the completed projects in FY 15 expanded the area of existing WMAs and a third created a new one that contains significant areas of floodplain forest along the Upper Ammonoosuc River. The final project completed in FY 15 was the acquisition of two conservation easements from The Nature Conservancy. The 1,321 acres of newly conserved lands have been added to the existing Green Hills conservation area in Conway covering 6,000 acres.

Land conservation projects often take more than a year from inception to closing. Landowner negotiations, due diligence and obtaining all the required state and federal approvals can be time consuming. In keeping with our efforts to enhance the existing Wildlife Management Area system, projects are currently underway that would add additional acreage and habitat diversity to Ellis Hatch WMA, Corey WMA and Cascade Marsh WMA. We are also working on creating new WMAs in Windham and Londonderry.

FY 2015 Habitat Account Class 305 Expenditures

Expense Item	Group	Location	Amount (\$) Expended
Survey Work	Survey	Henry Laramie WMA	32,362.00
Conduct Appraisals	Appraisal	Statewide	8,500.00
Appraisal Reviews	Appraisal	Statewide	2,800.00
Fee Acquisition (Marquis)	Acquisition	Upper Ammonoosuc River WMA	81,000.00
Legal Fees	Acquisition	Statewide	2,000.00
Boundary posts	Survey	Statewide	654.93
Appraisal Reviews	Appraisal	Statewide	2,400.00
Survey Work	Survey	Horne Brook WMA	9,480.00
Fee Acquisition (Knowlton)	Acquisition	McDaniel's Marsh WMA	149,000.00
Dues	Other	NH Land Trust Coalition	50.00
Conservation Easement Acquisition	Acquisition	Conway	234,000.00
Conservation Easement Acquisition	Acquisition	Canterbury	169,750.00
Legal Fees	Acquisition	Statewide	1,400.00
Stewardship Endowments	Acquisition	Statewide	37,000
Survey Work	Survey	Morrill Pond WMA	4,200
TOTALS			734,596.93

FY 15 Completed Land Conservation Projects:

- Acquisition of 96.68 acres in Stark to create the Upper Ammonoosuc River Wildlife Management Area;
- Acquisition of 65 acres in Springfield to enlarge the McDaniel's Marsh Wildlife Management Area;
- Acquisition of conservation easements on 1,321.44 acres in Conway to expand The Nature Conservancy's Green Hills Preserve;
- Acquisition of a conservation easement on 115.47 acres in Canterbury adjacent to the Morrill Pond Wildlife Management Area.



New Hampshire Fish and Game Department

FIS 15 222

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TDD Access: Relay NH 1-800-735-2964

September 25, 2015

The Honorable, Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

INFORMATIONAL ITEM

In accordance with RSA 214:1-g VII, Annual Report: Fisheries Habitat Account. The Department is submitting the following report for fiscal year 2015:

20-07500-21270000 Fisheries Habitat Account

Balance forward from fiscal year 2014		\$724,516.56
Plus:	Revenue – Fiscal year 2015	+340,008.13
	Habitat fees: 240,613.00	
	Interest: 833.66	
	Federal Funds 98,561.47	
Less:	Expenditures (see detail following)	-298,101.87
Less:	Encumbrances 06/30/2015	-35,000.00
Balance available 06/30/15		<u>\$731,422.82</u>

Respectfully Submitted,

Glenn Normandeau
Executive Director

Detail of expenditures:

Personnel	152,521.18
Nash Stream Restoration Project Implementation	19,542.50
Dam Registration Fees	11,475.00
Jones Pond Dam Reconstruction	50,505.89
Land Conservation (Barrington, 300 acres)	40,000.00
Administrative Fee	24,053.30
Audit Set Aside	4.00
Total Expenditures FY 2015	\$298,101.87

Summary of public benefits derived from the disbursements from the Fisheries Habitat Account:

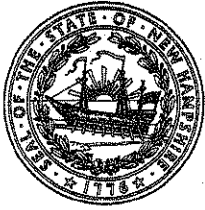
Personnel: Consistent with the State of New Hampshire budget for Fiscal Years 2014 and 2015, the New Hampshire Fish and Game Commission approved the use of the Fisheries Habitat Account to pay for personnel who are vital to the Fish Habitat Program.

Nash Stream Restoration Project: Nash Stream was once renowned as a high quality native brook trout stream that provided exceptional angling opportunities. It is also former Atlantic salmon habitat. The river and its tributaries still contain native brook trout, but not in the numbers once seen due to historic log drives, impassable culverts and a catastrophic dam breach. In 1969 the Nash Bog Pond dam failed, sending a torrent of water akin to the 500-year flood down Nash Stream, destroyed what fish habitat still persisted, and certainly killed every fish along nine miles of Nash Stream. As a result of the dam breach, much of the instream and riparian habitat was altered to the detriment of brook trout and other native fish species. Subsequent bulldozing further affected the river corridor and channel morphology by eliminating pools, widening the channel, and limiting Nash Stream’s access to its floodplain. The result was more homogenous water with limited habitat and spawning value. Poorly designed culverts along old logging roads compounded matters by blocking or impeding fish passage to critical tributary spawning habitat. As a result, Nash Stream no longer supports a robust, wild brook trout fishery. Activities will continue to focus on restoring the instream and riparian habitat along Nash Stream and removing impassable barriers (culverts) to the spawning and rearing areas in the tributaries. In Fiscal Year 2015, we conducted river restoration activities in the mainstem of Nash Stream between Emerson Brook and Long Mountain Brook. The overall restoration project will continue for approximately two more years, at which time we intend to replace several more road/stream crossings to make them passable by fish and conduct instream restoration for another five miles of Nash Stream and up to ten miles of its tributaries.

Dam Registration Fees: Some dams maintain water levels in many NH trout ponds and provide important benefits to fish populations as well as providing angling opportunities. These dams require annual inspections and the Fisheries Habitat Account was used to pay for these inspections (through an annual registration fee), which are conducted by New Hampshire Department of Environmental Services.

Jones Pond Dam Reconstruction: Jones Pond was created by damming Jones Brook in the 1970s as part of a development project that did not come to fruition. The area surrounding the dam was acquired by New Hampshire Fish and Game Department in 1985 as part of the ~1,500 acre Ellis Hatch Wildlife Management Area in Middleton and Brookfield. The 600 foot earthen dam had a 30 inch metal pipe for its outlet. The pipe corroded and caused severe localized erosion failure of the embankment and drawdown of the impoundment in 2005. After several studies to consider options for reconstructing the outlet structure, or removing the dam and reverting to natural flow of Jones Brook, the Department decided to reconstruct the dam. The engineering design was done by a private consulting firm, and in 2014, the dam was rebuilt by the New Hampshire Department of Environmental Services Dam Bureau. The pond was refilled in late 2014.

Land Conservation, Barrington: Conservation of the Calef Property along the Isinglass River is a partnership between the Trust for Public Land (TPL), the Natural Resource Conservation Service (NRCS), and the town of Barrington. The total cost of the project is estimated to be \$1,100,000. Funding was also received from the NHDES Aquatic Resource Mitigation (ARM) fund and a Moose Plate grant. Ultimately, the property will be owned by the town of Barrington, with NRCS holding the conservation easement under the Wetland Reserve Program (WRP). The Isinglass River is stocked each year with brook trout and rainbow trout just upstream of this property, at the Rt. 202 bridge. The protection of this property improves the accessibility of the Isinglass River to anglers in close proximity to a well-known stocking site. Known for its excellent water quality, the Isinglass River is home to a number of fish species of conservation concern, including the state threatened bridle shiner (found just upstream) and the American eel. This reach is also popular with paddlers and it is described in the Appalachian Mountain Club River Guide for New Hampshire and Vermont.



STATE OF NEW HAMPSHIRE
DEPARTMENT of RESOURCES and ECONOMIC DEVELOPMENT
OFFICE OF THE COMMISSIONER

172 Pembroke Road Concord, New Hampshire 03301
Phone: 271-2411 Fax: 271-2629

September 16, 2015

Her Excellency, Governor Margaret Wood Hassan
and the Honorable Executive Council
State House
Concord, New Hampshire 03301

The Honorable Shawn Jasper, Speaker
New Hampshire House of Representatives
State House – Room 311
Concord, New Hampshire 03301

The Honorable Chris Christensen, Chairman
Resources, Recreation and Development
Legislative Office Building – Room 305
Concord, New Hampshire 03301

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

The Honorable Chuck Morse, President
New Hampshire Senate
State House – Room 302
Concord, New Hampshire 03301

The Honorable Jeb Bradley, Chairman
Energy and Natural Resources
State House – Room 100
Concord, New Hampshire 03301

INFORMATIONAL ITEM

In accordance with RSA 215-A:3, II-b, RSA 215-C:2, VIII-b, RSA 216-A:3-m, II, RSA 12-A:28, and Chapter 276:27, Laws of 2015, respectively, the Department of Resources and Economic Development (Department) reports the following transfers of funds for the quarter ending June 30, 2015. Additionally, transfers of funds completed during the second and third quarters previously not reported by error are included in the totals shown for account titles "Mt. Washington Commission" and "Turnpike Welcome Centers."

• Account Titled "Trails Administration"

From: 03-35-35-351510-34140000-029	Intra-Agency Transfers	\$ 4,400
To: 03-35-35-351510-34140000-010	Personal Services - Permanent	\$ 4,400

• Account Titled "Trails Maintenance"

From: 03-35-35-351510-35580000-018	Overtime	\$ 1,500
03-35-35-351510-35580000-030	Equipment New/Replacement	\$ 8,000
03-35-35-351510-35580000-047	Own Forces Maintenance B&G	\$ 10,000
03-35-35-351510-35580000-048	Contractual Maintenance B&G	\$ 3,000
03-35-35-351510-35580000-060	Benefits	\$ 5,600
	Total:	\$ 28,100
To: 03-35-35-351510-35580000-020	Current Expenses	\$ 18,300
03-35-35-351510-35580000-023	Heat Electricity Water	\$ 4,000
03-35-35-351510-35580000-024	Maintenance Other Than B&G	\$ 2,000
03-35-35-351510-35580000-050	Personal Services – Temporary	\$ 3,800
	Total:	\$ 28,100

- Account Titled "Trails Acquisition"

From: 03-35-35-351510-35620000-033	Land Acquisition and Easements	\$ 30,000
To: 03-35-35-351510-35620000-020	Current Expenses	\$ 30,000

- Account Titled "Parks Administration"

From: 03-35-35-351510-37010000-010	Personal Services – Permanent	\$ 200
03-35-35-351510-37010000-026	Organizational Dues	\$ 4,000
	Total:	\$ 4,200
To: 03-35-35-351510-37010000-011	Personal Services - Unclassified	\$ 200
03-35-35-351510-37010000-066	Employee Training	\$ 4,000
	Total:	\$ 4,200

- Accounts Titled "Parks Administration" and "Service Parks"

From: 03-35-35-351510-37010000-010	Personal Services – Permanent	\$ 80,000
03-35-35-351510-37010000-060	Benefits	\$ 30,000
03-35-35-351510-37010000-069	Promotional Marketing Expenses	\$ 55,000
	Total:	\$165,000
To: 03-35-35-351510-37200000-020	Current Expenses	\$165,000

- Account Titled "Service Parks"

From: 03-35-35-351510-37200000-018	Overtime	\$ 15,000
03-35-35-351510-37200000-029	Intra-Agency Transfers	\$ 75,000
03-35-35-351510-37200000-030	Equipment New/Replacement	\$ 75,000
03-35-35-351510-37200000-047	Own Forces Maintenance B&G	\$ 19,000
03-35-35-351510-37200000-059	Temp Full Time	\$ 5,020
03-35-35-351510-37200000-102	Contracts for Program Services	\$ 20,000
	Total:	\$209,020
To: 03-35-35-351510-37200000-010	Personal Services – Permanent	\$ 25,000
03-35-35-351510-37200000-019	Holiday Pay	\$ 4,600
03-35-35-351510-37200000-020	Current Expenses	\$ 15,000
03-35-35-351510-37200000-029	Intra-Agency Transfers	\$ 65,000
03-35-35-351510-37200000-030	Equipment New/Replacement	\$ 10,000
03-35-35-351510-37200000-039	Telecommunications	\$ 30,000
03-35-35-351510-37200000-060	Benefits	\$ 4,420
03-35-35-351510-37200000-102	Contracts for Program Services	\$ 25,000
03-35-35-351510-37200000-103	Contracts for Op Services	\$ 30,000
	Total:	\$209,020

- Account Titled "Concession Operations – State Parks"

From: 03-35-35-351510-37220000-020	Current Expenses	\$ 63,500
03-35-35-351510-37220000-030	Equipment New/Replacement	\$ 10,000
03-35-35-351510-37220000-047	Own Forces Maintenance B&G	\$ 8,000
03-35-35-351510-37220000-048	Contractual Maintenance B&G	\$ 23,000
03-35-35-351510-37220000-050	Personal Services – Temporary	\$ 20,600
	Total:	\$125,100

To:	03-35-35-351510-37220000-030	Equipment New/Replacement	\$ 20,000
	03-35-35-351510-37220000-050	Personal Services – Temporary	\$ 40,000
	03-35-35-351510-37220000-106	Goods for Resale	\$ 65,100
		Total:	\$125,100

- Account Titled "Mt. Washington Commission"

From:	03-35-35-351510-37420000-020	Current Expenses	\$ 550
	03-35-35-351510-37420000-023	Heat Electricity Water	\$ 500
	03-35-35-351510-37420000-030	Equipment New/Replacement	\$ 37,000
	03-35-35-351510-37420000-080	Out-of-State Travel Reimbursement	\$ 5,000
		Total:	\$ 43,050

To:	03-35-35-351510-37420000-018	Overtime	\$ 4,000
	03-35-35-351510-37420000-030	Equipment New/Replacement	\$ 37,500
	03-35-35-351510-37420000-039	Telecommunications	\$ 1,000
	03-35-35-351510-37420000-106	Goods for Resale	\$ 550
		Total:	\$ 43,050

- Account Titled "CLH Road Maintenance Endowment"

From:	03-35-35-351510-37460000-020	Current Expenses	\$ 14,000
	03-35-35-351510-37460000-030	Equipment New/Replacement	\$ 4,000
	03-35-35-351510-37460000-050	Personal Services – Temporary	\$ 12,844
	03-35-35-351510-37460000-060	Benefits	\$ 982
		Total:	\$ 31,826

To:	03-35-35-351510-37460000-020	Current Expenses	\$ 17,826
	03-35-35-351510-37460000-050	Personal Services – Temporary	\$ 13,000
	03-35-35-351510-37460000-060	Benefits	\$ 1,000
		Total:	\$ 31,826

- Account Titled "Hampton Meters"

From:	03-35-35-351510-73000000-023	Heat Electricity Water	\$ 2,000
	03-35-35-351510-73000000-024	Maintenance Other Than B&G	\$ 3,000
	03-35-35-351510-73000000-103	Contracts for Op Services	\$ 14,000
		Total:	\$ 19,000

To:	03-35-35-351510-73000000-030	Equipment New/Replacement	\$ 19,000
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- Account Titled "Cannon Mountain"

From:	03-35-35-351510-37030000-019	Holiday Pay	\$ 13,212
	03-35-35-351510-37030000-020	Current Expenses	\$ 50,000
	03-35-35-351510-37030000-022	Rents-Leases OTS	\$100,600
	03-35-35-351510-37030000-024	Maintenance Other Than B&G	\$140,000
	03-35-35-351510-37030000-047	Own Forces Maintenance B&G	\$ 50,000
	03-35-35-351510-37030000-080	Out-of-State Travel Reimbursement	\$ 7,000
		Total:	\$360,812

To:	03-35-35-351510-37030000-011	Personal Services – Unclassified	\$ 2,000
	03-35-35-351510-37030000-018	Overtime	\$ 11,212
	03-35-35-351510-37030000-019	Holiday Pay	\$ 600
	03-35-35-351510-37030000-023	Heat Electricity Water	\$250,000

03-35-35-351510-37030000-030	Equipment New/Replacement	\$ 25,000
03-35-35-351510-37030000-059	Temp Full Time	\$ 65,000
03-35-35-351510-37030000-103	Contracts for Op Services	\$ 7,000
	Total:	\$360,812

- Account Titled "Ski School/Concession – Cannon"

From: 03-35-35-351510-37040000-020	Current Expenses	\$ 600
03-35-35-351510-37040000-062	Workers Compensation	\$ 30,000
03-35-35-351510-37040000-070	In-State Travel Reimbursement	\$ 500
03-35-35-351510-37040000-080	Out-of-State Travel Reimbursement	\$ 2,000
	Total:	\$ 33,100

To: 03-35-35-351510-37040000-018	Overtime	\$ 2,500
03-35-35-351510-37040000-050	Personal Services - Temporary	\$ 25,000
03-35-35-351510-37040000-059	Temp Full Time	\$ 5,000
03-35-35-351510-37040000-106	Goods for Resale	\$ 600
	Total:	\$ 33,100

- Account Titled "Highway Welcome Centers"

From: 03-35-35-352015-59190000-048	Contractual Maintenance B&G	\$ 44,000
To: 03-35-35-352015-59190000-020	Current Expenses	\$ 30,000
03-35-35-352015-59190000-030	Equipment New/Replacement	\$ 14,000
	Total:	\$ 44,000

- Account Titled "Turnpike Welcome Centers"

From: 03-35-35-352017-18720000-047	Own Forces Maintenance B&G	\$ 10,000
03-35-35-352017-18720000-048	Contractual Maintenance B&G	\$ 5,850
03-35-35-352017-18720000-070	In-State Travel Reimbursement	\$ 7,000
	Total:	\$ 22,850

To: 03-35-35-352017-18720000-022	Rents-Leases OTS	\$ 10,000
03-35-35-352017-18720000-030	Equipment New/Replacement	\$ 2,750
03-35-35-352017-18720000-039	Telecommunications	\$ 7,600
03-35-35-352017-18720000-047	Own Forces Maintenance B&G	\$ 2,500
	Total:	\$ 22,850

EXPLANATION

RSA 215-A:3, II-b and RSA 215-C:2, authorizes the Commissioner of the Department to transfer funds among the appropriations for the Bureau of Trails and to report such transfers on a quarterly basis to the Fiscal Committee of the General Court, the Governor and Executive Council, the Speaker of the House and Senate President, and the chairpersons of the Resources, Recreation and Development and the Energy and Natural Resources committees. The transfers reported above for the accounts titled "Trails Administration," "Trails Maintenance" and "Trails Acquisition" were necessary to adequately cover 4th quarter expenditures.

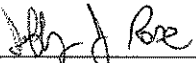
RSA 216-A:3-m, II, authorizes the Commissioner of the Department to transfer funds among the appropriations for the Division of Parks and Recreation and to report such transfers on a quarterly basis to the Fiscal Committee of the General Court, the Governor and Executive Council, the Speaker of the House and Senate President, and the chairpersons of the Resources, Recreation and Development and the Energy and Natural Resources committees. The transfers reported above for the accounts titled "Parks Administration," "Service Parks," "Concession Operations," "Mt. Washington Commission," "CLH Road

Maintenance Endowment” and “Hampton Meters” were necessary to adequately cover 2nd and 4th quarter expenditures.

RSA 12-A:28, authorizes the Commissioner of the Department to transfer funds within and among the appropriations for the operation of Cannon Mountain and to report such transfers annually 60 days after the close of each fiscal year to the Fiscal Committee of the General Court and the Governor and Executive Council. Note: The Department reports quarterly on Cannon’s fund transfers to maintain consistency with its other transfer reporting. The transfers reported above for the accounts titled “Cannon Mountain” and “Ski School / Concession – Cannon” were necessary to adequately cover 4th quarter expenditures.

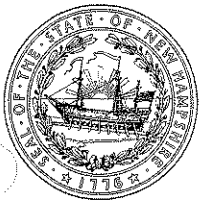
Chapter 276:27, Laws of 2015, authorizes the Commissioner of the Department to transfer funds among the appropriations for the Division of Travel and Tourism Development’s Welcome Information Centers and to report such transfers on a quarterly basis to the Fiscal Committee of the General Court. The transfers reported above in accounts titled “Highway Welcome Centers” and “Turnpike Welcome Centers” were necessary in order to adjust classes to adequately cover 2nd, 3rd and 4th quarter expenditures.

Respectfully submitted,



Jeffrey J. Rose
Commissioner

JJR/lml



John T. Beardmore
Commissioner

FIS 15 227

State of New Hampshire
Department of Revenue Administration

109 Pleasant Street
PO Box 457, Concord, NH 03302-0457
Telephone 603-230-5005
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Kathryn E. Skouteris
Assistant Commissioner

October 1, 2015

The Honorable Neal M. Kurk, Chairman
Fiscal Committee of the General Court
State House
Concord, New Hampshire 03301

Re: July through September 2015 Refund Report

Dear Representative Kurk:

Pursuant to revised RSA 21-J:45, enclosed is the Department of Revenue Administration's Quarterly Refund Report for the months of July through September 2015. This report is produced on a quarterly basis for requested tax refunds and provides a 5-year refund analysis.

Feel free to contact me with any questions or concerns.

Sincerely

John T. Beardmore
Commissioner

Enclosure

TDD Access: Relay NH 1-800-735-2964

Individuals who need auxiliary aids for effective communication in programs and services of the Department of Revenue Administration are invited to make their needs and preferences known to the Department.

Department of Revenue Administration
 Quarterly Refund Report
 FY2016 Quarter 1 (July - Sept)

	A	B	C	D	E
		Business Taxes		Interest and Dividends Tax	
		\$	#	\$	#
1	Requested Refunds Outstanding at Start of Quarter	\$ 4,314,767	264	\$ 869,093	131
2	Requested Refunds Initiated Current Quarter	\$ 7,029,045	1125	\$ 608,455	413
3	Requested Refunds Paid Current Quarter	\$ 5,153,357	882	\$ 520,696	399
4	Requested Refunds Outstanding at End of Quarter ¹	\$ 6,017,966	489	\$ 166,109	122

<u>Business Taxes</u>					
5	Six-Year History of Requested Refunds Paid	Quarter 1 (Jul - Sep)	Quarter 2 (Oct - Dec)	Quarter 3 (Jan - Mar)	Quarter 4 (Apr - Jun)
	FY2016	\$ 5,153,357			
6	FY2015	\$ 6,722,636	\$ 10,540,238	\$ 8,869,233	\$ 5,913,456
7	FY2014	\$ 3,884,913	\$ 16,260,550	\$ 7,237,481	\$ 5,537,410
8	FY2013	\$ 3,420,723	\$ 1,894,055	\$ 11,163,932	\$ 11,599,580
9	FY2012	\$ 5,323,035	\$ 8,250,900	\$ 4,012,814	\$ 6,048,512
10	FY2011	\$ 6,390,206	\$ 11,739,293	\$ 10,604,106	\$ 5,570,492
11	FY2010	\$ 3,827,473	\$ 13,108,991	\$ 14,423,748	\$ 9,279,202

<u>Interest and Dividends Tax</u>					
12	Six-Year History of Requested Refunds Paid	Quarter 1 (Jul - Sep)	Quarter 2 (Oct - Dec)	Quarter 3 (Jan - Mar)	Quarter 4 (Apr - Jun)
	FY2016	\$ 520,696			
13	FY2015	\$ 770,008	\$ 1,807,347	\$ 518,693	\$ 1,332,514
14	FY2014	\$ 1,230,552	\$ 3,082,684	\$ 930,216	\$ 2,611,630
15	FY2013	\$ 923,696	\$ 360,903	\$ 2,168,976	\$ 1,363,645
16	FY2012	\$ 1,656,963	\$ 2,986,203	\$ 191,378	\$ 1,725,833
17	FY2011	\$ 1,122,024	\$ 1,871,517	\$ 1,266,871	\$ 2,004,500