



**Department of  
Development**

Ted Strickland, Governor  
Lee Fisher, Lt. Governor

Lisa Patt-McDaniel, Interim Director

## **State Energy Plan -- Solar and Wind Deployment Systems Request For Proposals #09-08**

### **Program Guidelines and Application Procedures**

**These guidelines have been developed pursuant to Division A, Title IV,  
Section 410, American Recovery and Reinvestment Act, 2009.**

Solar and Wind Deployment Systems  
Ohio Department of Development  
Ohio Energy Office  
77 South High Street, 26th Floor  
Columbus, Ohio 43215-6130  
Attn: Solar and Wind Deployment Systems  
614.466-6797  
[Recovery.Boone@em.ohio.gov](mailto:Recovery.Boone@em.ohio.gov)

## I. OVERVIEW

To be considered for funding for the **State Energy Plan – Solar and Wind Deployment Systems Program**, all interested parties must complete a two-step application process:

- 1) Submit a one-page project proposal on the <http://recovery.ohio.gov/opportunities/state/> website no later than **5:00 pm** on **September 21, 2009**. Applicants that have already submitted a proposal at <http://recovery.ohio.gov> do not need to submit again.

NOTE: On the <http://recovery.ohio.gov/opportunities/state/> page, click on “**Submit your Proposal**” in the “How to Apply” box. When filling out the “Project Information” section of the form, choose the Federal Stimulus Program category “**Energy and Environment**” and the subprogram “**State Energy Program**.”

- 2) Submit an application to the Ohio Department of Development, Ohio Energy Office no later than **3:00 p.m.** on **September 25, 2009**. The application form may be found at <http://development.ohio.gov/cdd/oeo/GrantsLoans.htm>.

In accordance with State Energy Plan – American Recovery and Reinvestment Act (SEP-ARRA) federal stimulus initiative, the Ohio Department of Development (“Development”), through the SEP-ARRA funding solicits proposals for solar electric, solar thermal, and wind electric systems within the State of Ohio. These proposals must target projects that will be completed or deployed within twelve (12) months from the date of grant award. A total of \$14,000,000 in grant funds will be available for allocation as follows:

- Solar Electric: \$7,000,000
- Solar Thermal: \$1,000,000
- Wind Electric: \$6,000,000

Total: \$14,000,000

A minimum grant award amount of \$250,000 up to a maximum award amount of \$1,000,000 will be made to the highest scoring qualified applicant(s), except that the maximum grant award for solar thermal systems will be limited to \$500,000. Development reserves the right to reallocate grant funds targeted to the solar electric, solar thermal, and/or wind electric systems, if it would be in the best interest of the State to do so. With the exception of solar thermal projects, all solar and wind projects must be tied into the grid.

Completed applications will be scored to determine eligibility for grant assistance to cover portions of the costs for deploying eligible systems within the State of Ohio. Third-party renewable energy financing systems are also an eligible approach under this Request for Proposals (“RFP”).

The goals of this RFP are to:

- Assist Ohio manufacturers and companies in improving their economic viability through increased manufacturing and sale of renewable energy goods and services;
- Increase energy generation from renewable energy resources through deployment of solar electric, solar thermal, and wind electric systems in Ohio;
- Save energy, reduce greenhouse emissions; and
- Stimulate or increase job retention in Ohio.

Grant funds are limited, but qualifying applications will be considered for funding until all funds for this RFP are awarded or the Ohio Energy Office (“OEO”) determines the program no longer suits the best interests of Ohio’s energy plan. All applicants seeking funding for solar and/or wind projects must apply for grant funds using the attached forms and directions specified in the application. All ARRA funding must be obligated no later than October 2010. The OEO requires grant agreements for this RFP to be executed by December 2009. .

To meet the requirements of ARRA, Development requires that all grantees implement the “Buy American” provisions of AARA. See [Appendix A](#) for additional requirements and details associated with receiving this type of funding.

## **II. DEFINITIONS**

1. “Eligible project” means a project that increases energy generation from renewable energy resources through the deployment of solar electric, solar thermal, or wind electric; reduces greenhouse gas emissions; and/or increases job retention in Ohio.
2. Employment impacts are divided into three categories:
  - a. “Construction hours” - person hours required for the construction and installation of equipment to deploy solar and/or wind projects.
  - b. “New jobs” - new, full-time equivalent jobs at the project site that will be directly associated with this project.
  - c. “Retained jobs” - current full-time equivalent jobs at the project site that will be retained due, at least in part, to the installation of the renewable energy deployment projects.
3. “Total project costs” means all dollars to be expended.
4. Third-party renewable energy financing systems: Third-party renewable energy project financing systems’ owners are eligible to respond to this RFP. Under this model, the system (solar electric/solar thermal/wind electric) must be installed in Ohio and have an energy purchaser, third-party owner, and a Power Purchase Agreement (PPA).

- a. The energy purchaser may be a building owner, tenant, or other legally established agent of a building owner or tenant that is a party to a PPA.
- b. The third-party owner may be a bank, other financial institution, or a group of investors with a legally binding agreement who own and maintain the renewable energy system. The grant agreement memorializing any award pursuant to this RFP will be between the third-party owner and Development.
- c. The PPA is an agreement wherein the terms for the sale and purchase of the renewable energy are clearly documented. This PPA also sets forth the responsibilities of both the third-party owner and the energy purchaser.

**Eligible Costs/Technologies include:**

**ELIGIBLE TECHNOLOGIES AND FUNDING LIMITS**

<b>Solar Electric Systems</b>		<b>Wind Electric Systems</b>	
<b>Incentive Level</b>		<b>Incentive Level</b>	
<b>\$3.00/watt Minimum 75 kW Direct Current (DC)</b>		<b>\$2.00/kWh Minimum 5,000 kWh Alternating Current (AC) generated annually at the average wind speed for the site</b>	
<b>Maximum incentive as % of eligible system costs</b>	<b>50%</b>	<b>Maximum incentive as % of eligible system costs</b>	<b>50%</b>
<b>Maximum incentive as total of eligible system costs</b>	<b>\$1,000,000</b>	<b>Maximum incentive as total of eligible system costs</b>	<b>\$1,000,000</b>

<b>Solar Thermal Systems</b>	
<b>Incentive Level</b>	
<b>30 KBtu/per day Minimum 500 KBtu/day</b>	
<b>Maximum incentive as % of eligible system costs</b>	<b>50%</b>
<b>Maximum incentive as total of eligible system costs</b>	<b>\$500,000</b>

Development may, in its sole discretion, increase grant awards, modify the project completion time, or consider as an “allowable cost” other expenses as may be necessary for the project to move forward and are not elsewhere identified.

### III. ELIGIBILITY

1. Individuals, partnerships, unincorporated associations, corporations, limited liability companies, limited partnerships, governmental agencies, or any combination thereof may submit a proposal. An applicant that is a business must be registered with the Ohio Secretary of State and remain in good standing to do business in the State of Ohio. Third party applicants may also be eligible to receive grant funds under this program.
2. As a condition of eligibility, applicant agrees to meet all applicable permitting requirements. For any project(s) selected, the awardee(s) will be responsible for getting the appropriate permits and providing copies of the permits to Development before any money will be disbursed.
3. Projects must be completed or deployed within 12 months of the start of the award.
4. Applicant must demonstrate a match investment of a minimum of 50% of the total cost of the project. The match may include any combination of local, public, or private dollars. A higher proportional match investment is strongly preferred and will be accorded greater weight. Match investments may include eligible financial or in-kind contributions.
5. Applicant agrees, if selected for an award, to make public all information about the project, to participate in at least four (4) presentations, and to give four (4) tours to interested parties during the term of the grant agreement.
6. Development reserves the right to request additional information from any or all applicants at any time during the grant application and administration periods.
7. All solar thermal, solar electric, and wind electric systems relating to this RFP must be located within the State of Ohio.

### IV. SELECTION CRITERIA AND SCORING

1. **Project Readiness** - Points will be awarded based upon the quality and quantity of the following examples of evidence included in the application of the project's readiness to move forward and be completed or deployed within the required twelve (12) month period: permit issued by the Ohio EPA; submittal of stamped engineering drawings and evaluations for wind tower foundations and other applicable wind turbine installation requirements marked ready for construction and obtained from a professional engineer duly licensed to practice engineering in the State of Ohio;

complete technical application forms for each solar and wind deployment project; appropriateness, efficiency and effectiveness of the technologies employed in the project; vendor quotes, capital budget appropriations (in-house) and finance arrangements; engineering documents; regulatory permits. The foregoing list is not exhaustive. (0-30 points)

2. **Financials: Match, Financing, and Cost Effectiveness** - Points will be awarded based upon the submission of the following evidence: financing in place for the balance of project costs; project cost effectiveness as measured by total project costs divided by renewable energy to be generated; a match of funds higher than the required 50%; project's financial pro forma; and three years of audited financial reports from the project developers. A project financial pro forma must accompany all third party applications. (0-10 points)
3. **Economic Impact for Ohio** - Points will be awarded based upon commitment to job creation and/or retention during the construction phase and during the operation phase, and based on the cost per job as measured by grant amount requested divided by the number of jobs to be created/retained. (0-50 Points)
4. **Project Characteristics and Potential for Innovation** - Points will be awarded for: the innovative nature of the solar or wind deployment project, as measured by the uniqueness of the project in addressing unemployment and other economic distressed conditions in Ohio; the Annual Million British Thermal Units (MMBTU) to be saved; the reductions in greenhouse gases and other pollutants that will result from the project; the previous experience of the organization's staff in deploying solar and wind projects; and, the appropriateness of the technologies proposed for carrying out the proposal. (0- 10 points)
5. **Bonus Points**-. Bonus points may be awarded to applicants who have addressed Ohio-based employment as well as deployment of commercially available advanced energy equipment and other adverse economic conditions in Ohio. The application rises to a level of degree higher than most other applications received by ODOD. Examples include, but are not limited to: exceptional integration of other renewable energy technologies with the solar and wind deployment projects to achieve greater efficiency and effectiveness of the proposed systems; identification of potential solutions to current market barriers to increased use of solar and wind energy systems in Ohio; speed of project readiness. (0 – 10 pts.)

## V. PREVAILING WAGE – (Davis-Bacon Act)

Projects that receive funds through the solar thermal, solar electric, and or/wind electric systems' deployment grant funds will be required to comply with the provisions of the Davis-Bacon Act and related laws. The Davis-Bacon Act of 1931 is the United States federal law which established the requirements for paying prevailing wages on public works projects. Additional information about complying with the Davis-Bacon Act and related laws can be obtained at: <http://www.dol.gov/esa/whd/programs/dbra/faqs.htm>.

## VI. APPLICATION

1. A separate application must be submitted for each eligible project. The application must identify the eligible applicant. The eligible applicant will be the authorized representative for the eligible project in all matters relating to any funds awarded through this solar and wind deployment RFP and will be solely responsible for all performance and reporting responsibilities. There is no limit to the number of eligible projects that may be proposed by any eligible applicant.
2. Requested awards may not exceed \$1,000,000, except that solar thermal system awards will be limited to \$500,000.
3. All application materials will be reviewed by the Ohio Energy Office.
4. Required Application Procedures

Submit **one original** and **three copies** of the project application and required attachments to:

Ohio Department of Development  
Ohio Energy Office  
State SEP - ARRA  
Attention: Solar and Wind Deployment Systems  
77 South High Street, 26<sup>th</sup> Floor  
P.O. Box 1001  
Columbus, Ohio 43216-1001  
(614) 466-6797  
[Recovery.Boone@em.ohio.gov](mailto:Recovery.Boone@em.ohio.gov)

***Applications must be received by the Ohio Energy Office (OEO) no later than September 25, 2009, at 3:00 p.m. Eastern Time.*** Applications must be submitted in hard copy. No fax or e-mail submittals will be accepted. Late submittals or submittals without the required number of copies will not be considered.

All costs of preparing and submitting applications in response to this RFP are solely the responsibility of the applicant. Development shall not contribute, in any way, to the cost of the preparation and delivery of the application.

All information submitted in response to this RFP shall be public information unless a statutory exception exists which would exclude the information from being released to the public. Any information submitted with the proposal, which the applicant believes is a trade secret, as that term is defined in Ohio Revised Code § 1331.61, must be conspicuously designated as such and shall be treated accordingly if the information is determined to be a trade secret under the laws of the State of Ohio. It is the

applicant's sole duty to identify and mark such passages it deems trade secrets. All submissions become the property of OEO and will not be returned.

**5. Award Selection**

Only projects that meet all of the requirements of this RFP as stated herein will be considered for grant assistance. Due to the competitiveness of the program, not all eligible projects may receive awards. Incomplete applications will not be considered. The State of Ohio reserves the right to reject any and all proposals.

**VI. GRANT AGREEMENT**

The grant agreement governing the relationship between the selected applicant(s) and Development shall be based on the terms of the sample grant agreement, which is attached as Appendix A. Development reserves the right to modify any of the terms of the grant agreement that it deems necessary.

**VII. MONITORING AND REPORTING**

Reports will be required to be submitted not less than on a monthly basis. Reports are due to OEO by the 10th of the month. A narrative report should describe program progress during the previous period. Access to the project site for project monitoring must be provided upon 48 hour notice of intent to visit the job site.

**VIII. CHANGES TO THESE GUIDELINES**

Development reserves the right to adjust the dates listed above for whatever reasons it deems appropriate without prior notice. Development also reserves the right to request additional information to assist in the review process, to reject any and all applications and make no awards under this program, to make fewer and smaller awards than anticipated, or to fund partial projects.

**IX. DEVELOPMENT CONTACT INFORMATION**

Prior to the deadline for submission, oral communication regarding this RFP with any of the staff or reviewers is not permitted. Applicants may submit written questions to OEO. Questions should be submitted to the e-mail address or fax number indicated below.

Fax: (614) 466-1864

E-mail: [Recovery.Boone@em.ohio.gov](mailto:Recovery.Boone@em.ohio.gov)

OEO accepts no responsibility for faxes or e-mails that are not delivered. The questions and answers will be posted on the OEO website at <http://development.ohio.gov/cdd/oe/>



State Energy Plan ARRA – Solar and Wind Deployment Systems

***Application Evaluation Section***

Ohio Department of Development  
Ohio Energy Office  
State Energy Plan - ARRA  
Solar and Wind Deployment Systems  
77 South High Street, 26th Floor  
Columbus, OH 43215-6130  
(614) 466-6797  
[Recovery.Boone@em.ohio.gov](mailto:Recovery.Boone@em.ohio.gov)

# SEP- ARRA Solar and Wind Deployment Systems

## Application Evaluation Sheet

This evaluation sheet is for use by the Solar and Wind Deployment Review Team, which includes representatives from the Ohio Department of Development's Ohio Energy Office and Technology Division, as well as from the Ohio Air Quality Development Authority and other stakeholders to evaluate applications received under the SEP ARRA Solar and Wind Deployment Request for Proposals.

A total of **100 points** is available when ranking each submitted application, allocated according to the following:

- A. Project Readiness
- B. Financials: Match, Financing, and Cost Effectiveness
- C. Economic Impact for Ohio
- D. Project Characteristics and Potential for Innovation

**An additional 10 points may be awarded to highly competitive projects.**

The items listed have been weighted appropriately to gauge the completeness and quality of each applicant's responses.

Each evaluator must complete one (1) evaluation sheet for each application received. Indicate the evaluator's name and date in the spaces provided.

Next to each item is a scoring range. For each item addressed by the applicant, rank the application to the degree indicated. The total evaluation score assigned to each application is then determined by adding the values from each section.

Evaluator Name: \_\_\_\_\_ Date: \_\_\_\_\_

Applicant Information	
Applicant Name: _____	
Project Description: _____	
Final Scoring	
Project Readiness (Maximum Score 30 Points)	_____ Points
Financials: Match, Financing and Cost Effectiveness (Maximum Score 10 points)	_____ Points
Economic Impact for Ohio (Maximum Score 50 Points)	_____ Points
Project Characteristics and Potential for Innovation (Maximum Score 10 Points)	_____ Points
Total Possible Score: <b>110 Points</b>	_____ <b>(100 Points)</b> + _____ Add <b>10 Points</b> bonus if applicable <b>Final Score: _____</b>

## SEP- ARRA Solar and Wind Deployment Systems

### Project Readiness

	Minimal	Typical	Extraordinary
Demonstrated by submission of:	5	10	20
<p><b><u>Wind</u></b></p> <ul style="list-style-type: none"> <li>• Stamped engineering and construction drawings from an Ohio Structural Engineer marked ready for construction and installation of wind turbines and its foundations. <b>(Preliminary engineering and construction drawings will not be accepted).</b></li> <li>• Engineering and construction drawings for the exact location where the wind turbine will be installed.</li> <li>• Wind resource information for the specified wind turbine including the wind speed and power output curve of the turbine.</li> <li>• Color Wind Resource Map with explanatory Legends at specified hub height of the turbine for the exact location where the wind turbine will be installed. <b>(Extrapolated or calculated wind resource information cannot be used to meet the Wind Resource Map requirement).</b></li> <li>• Copy of Liability Insurance for the Ohio Structural Engineer.</li> <li>• Copy of Ohio Bureau of Worker’s Compensation Certificate for the Structural Engineer.</li> <li>• Copy of plan to install a Kilowatt-hour meter (Wind and Solar PV projects only) to monitor the installed system output, document and submit 12 months of the installed system’s performance data to the Ohio Energy Office.</li> </ul> <p><b><u>Solar</u></b></p> <ul style="list-style-type: none"> <li>• Copy of Solar Pathfinder results with a Clear Angle Estimate grid for solar photovoltaic systems or solar thermal water heating.</li> <li>• Solar Pathfinder information which includes solar radiation with and without shading at the site.</li> <li>• Copy of North American Board of Certified Energy Practitioners (NABCEP) Certificate for the Solar Installer or other acceptable minimum qualifications.</li> <li>• Copy of Ohio Plumber or Hydronics Contractors License for Solar thermal installers</li> <li>• Copy of Ohio Bureau of Workers’ Compensation Certificate for the NABCEP solar installer.</li> <li>• Copy of plan to install a Kilowatt-hour meter (Solar PV and Wind projects only) to monitor the installed system output, document and submit 12 months of the installed system’s performance data to the Ohio Energy Office.</li> </ul>	_____	_____	_____

<p><b>Minimal:</b> This project will move forward and be completed within 12 months as required.</p> <p><b>Typical:</b> Preliminary analysis of engineering and construction drawings, Technical Application Forms, Appropriateness, effectiveness, and efficiency of technology employed, vendor quotes. This project will move forward and be completed within 12 months.</p> <p><b>Extraordinary:</b> Engineering analysis and layout complete, capital budgets appropriations approved, financing in place (bank commitment letter addressing approval of loan(s) included). This project will move forward and be completed within 12 months.</p>			
<p><b>Regulatory Approvals</b></p> <p><b>Minimal:</b> This project has obtained no regulatory permits.</p> <p><b>Typical:</b> This project shows evidence of having contacted regulatory agencies.</p> <p><b>Extraordinary:</b> This project has all required regulatory permits.</p>	<b>0</b> <hr/>	<b>2</b> <hr/>	<b>5</b> <hr/>
<p><b>Utility Interconnection (Solar and Wind electric systems only). Solar thermal projects will be scored here for having all applicable permits.</b></p> <p><b>Minimal:</b> This project has obtained no utility interconnection agreements.</p> <p><b>Typical:</b> This project shows evidence of having contacted its appropriate utility.</p> <p><b>Extraordinary:</b> This project received a utility letter of intent and/or has a completed interconnection agreement.</p>	<b>0</b> <hr/>	<b>2</b> <hr/>	<b>5</b> <hr/>
<b>Total Points Available</b> <b>30</b>	<b>Applicant's Score</b> <hr/>		

## SEP- ARRA Solar and Wind Deployment Systems

### Financials: Match, Financing, and Cost Effectiveness

	Minimal	Typical	Extraordinary
<p>A match higher than the required 50% is preferred. The applicant's match investment is _____.</p> <p><b>Minimal:</b> Match is 50%; <b>Typical:</b> Match is between 50.1-65% (2pts.) <b>Extraordinary:</b> Match is over 65% (5 points)</p>	<p><b>0</b></p> <p>_____</p>	<p><b>2</b></p> <p>_____</p>	<p><b>5</b></p> <p>_____</p>
<p>This project shows evidence of financing committed or arranged to cover balance of total project costs.</p> <p><b>Minimal:</b> All match investments are committed by letter. <b>Typical:</b> 50% of the match is supported by executed agreements/contracts and/or evidence of cash availability. <b>Extraordinary:</b> 100% of the match is supported by executed agreements/contracts and/or evidence of cash availability. Please Note: Match investments made prior to date of the agreement must be supported by purchase orders, canceled checks, or other evidence of payment for the service and/or good.</p>	<p><b>0</b></p> <p>_____</p>	<p><b>2</b></p> <p>_____</p>	<p><b>3</b></p> <p>_____</p>
<p>Project cost effectiveness as measured by total project costs divided by kW (solar PV), kW/h (wind electric), and KBtu per day (solar thermal) of renewable energy power generated. The higher the cost/kW, kW/h or KBtu, the lower the score.</p> <p><b>Minimal:</b> Project cost effectiveness is in lower third of applications. <b>Typical:</b> Project cost effectiveness is in middle third of applications. <b>Extraordinary:</b> Project cost effectiveness is in upper third of applications.</p>	<p><b>0</b></p> <p>_____</p>	<p><b>1</b></p> <p>_____</p>	<p><b>2</b></p> <p>_____</p>
<p><b>Total Points Available</b> <b>10</b></p>	<p><b>Applicant's Score</b></p> <p>_____</p>		

## SEP- ARRA Solar and Wind Deployment Systems

### Economic Impact for Ohio

	Minimal	Typical	Extraordinary
<p>The number of Ohio jobs created and/or retained during construction, and during operation of the solar or wind turbines. Construction hours = person hours required for site preparation, installation of equipment and interconnection. Only assess jobs <b>directly associated</b> with the construction and/or operation of the project. Documentation for payment of federal Prevailing Wage (Davis-Bacon Act).</p> <p><b>Minimal:</b> Construction only.  <b>Typical:</b> Construction/operation.  <b>Extraordinary:</b> Construction/operation with breakdown of hours.</p>	<b>5</b> _____	<b>13</b> _____	<b>25</b> _____
<p>Potential for Ohio job creation and/or retention through use of Ohio-made components, Ohio suppliers, and/or Ohio-employed installers not directly employed by applicant. Applicant should be able to express this multiplier effect in terms of specific numbers or as a factor multiplier of the direct jobs created.</p> <p><b>Minimal:</b> Applicant is creating 5 or fewer indirect Ohio-based jobs.  <b>Typical:</b> Applicant is creating 6 – 20 indirect Ohio-based jobs.  <b>Extraordinary:</b> Applicant is creating 21 or more indirect Ohio-based jobs.</p>	<b>0</b> _____	<b>10</b> _____	<b>25</b> _____
<b>Total Points Available</b> <b>50</b>	<b>Applicant's Score</b> _____		

## SEP- ARRA Solar and Wind Deployment Systems

### Project Characteristics & Potential for Innovation

	Minimal	Typical	Extraordinary
<p>Innovative nature of solar and wind deployment projects, as measured by uniqueness of the project in addressing unemployment and other distressed economic conditions in Ohio. Annual Million British Thermal Units (MMBTU) saved and reduction in greenhouse gases, kW (solar and wind electric projects) or KBtu (solar thermal) of renewable energy generated and other pollutants that results from the project</p> <p><b>Minimal: Not an innovative project in addressing unemployment and other distressed economic conditions in Ohio.</b></p> <p><b>Typical: Project marginally addressed the unemployment and other distressed economic conditions in Ohio.</b></p> <p><b>Extraordinary: Project exceptionally addressed unemployment and other distressed economic conditions in Ohio.</b></p>	<b>0</b> _____	<b>2</b> _____	<b>5</b> _____
<p>Previous experience of the applicant installers staff in deploying solar and wind projects in Ohio. Appropriateness of the technologies proposed for carrying out the proposal.</p> <p><b>Minimal:</b> No previous experience with deployment of solar or wind projects in Ohio.</p> <p><b>Typical:</b> Limited experience. Has been in business for less than three years and installed at least three solar or wind deployment projects. Two of such projects must be tied to an electric grid.</p> <p><b>Extraordinary:</b> Has been in business for over five years and installed more than five grid-tied solar or wind projects.</p>	<b>0</b> _____	<b>2</b> _____	<b>5</b> _____
<b>Total Points Available</b> <b>10</b>	<b>Applicant's Score</b> _____		

**Bonus Points**

**Bonus Points: The applicant exceptionally addressed Ohio-based employment as well as deployment of commercially available advanced energy equipment and other adverse economic conditions in Ohio.** The application rises to a level of degree higher than most other applications received by ODOD. Examples include, but are not limited to: exceptional integration of other renewable energy technologies with the solar and wind deployment projects to achieve greater efficiency and effectiveness of the proposed systems; identification of potential solutions to current market barriers to increased use of solar and wind energy systems in Ohio; speed of project readiness. (0 – 10 pts.)

**Bonus Points**

\_\_\_\_\_

**Applicant's Final Score:** \_\_\_\_\_



## APPENDIX A

### Supplemental Terms and Conditions for Projects Funded in Whole or in Part with Monies from the American Recovery and Reinvestment Act of 2009

1. Timely and Accurate Reporting. The contractor shall comply with all reporting requirements outlined in Section 1512 of ARRA and such additional reporting guidance as may be issued from time to time. The Grantee's reporting must be sufficient to support the requirements of the Grantor to make timely and accurate reports to the federal agency from which the Grantor receives ARRA funds. The Grantor's reporting requirements include quarterly reporting of the amount of ARRA funds received; the amount of ARRA funds expended or obligated; detailed list of all projects or activities for which the ARRA funds were expended; an estimate of the number of jobs created and the number of jobs retained by the project or activity; and detailed information concerning subcontracts or sub-grants including the State of Ohio.
  - a. Separate Tracking and Reporting. Section 1512 of ARRA mandates special reporting for expenditure of ARRA funds. ARRA funds may be used in conjunction with funds from other sources, including federal funds not provided under the authority of ARRA and State funds, to complete the Project, but tracking and reporting of ARRA funds must be separate from tracking and reporting of other funds used for the Project. The Grantee shall ensure that the grant of ARRA funds is established and maintained in its accounting system to accommodate separate tracking and reporting.
  - b. Separate Accounts for ARRA Funds. If required by federal law, including any rules or regulations implementing ARRA, the Grantee shall deposit and maintain funds provided under the authority of ARRA in separate accounts.
  - c. Identification of ARRA Funds with "ARRA-" Prefix. The Grantee is subject to the requirements of the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." The Grantee shall separately identify the expenditures of funds provided under the authority of ARRA on the Schedule of Expenditures of Federal Awards ("SEFA") and, if required, the Data Collection Form (SF-SAC). The separate identification shall be accomplished by identifying expenditures of ARRA funds separately on the SEFA and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number and by including the prefix "ARRA-" in identifying the name of the federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.
  - d. Central Contractor Registration. During the term of this Agreement, the Grantee shall maintain a current registration in the Central Contractor Registration.
  - e. State of Ohio Reporting Form. The Grantee shall complete and provide to the Grantor the "OBM, Ohio Sub-Grantee and Sub-Recipient Spending Report in Compliance with ARRA Sec. 1512."
  - f. Monthly Reporting. The Grantee shall report its performance and spending under the Agreement monthly as provided in the Agreement notwithstanding that the Grantor will report quarterly to federal agencies. In order to comply with reporting deadlines to which the Grantor may be subject, the Grantor reserves the right to accelerate the deadline for reports required from the Grantee.
  - g. Jobs Created and Retained. The Grantee shall report the number of jobs created and retained directly by the Grantee and by each of its contractors as a result of the ARRA funding provided pursuant to this Agreement, as well as an estimate of jobs created or retained elsewhere as a result of ARRA funding.

(1) "Jobs or positions created" means those new positions created and filled, or

previously existing unfilled positions that are filled, as a result of ARRA funding. "Jobs or positions retained" means those previously existing filled positions that are retained as a result of ARRA funding. This description may rely on job titles, broader labor categories, or the contractor's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work.

- (2) For purposes of estimating the number of jobs created and jobs retained in the United States and outlying areas, at a minimum, the estimate shall include any new positions created and any existing filled positions that were retained to support or carry out ARRA projects or activities managed directly by the recipient, and if known, by sub-recipients. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all hours worked divided by the total number of hours in a full-time schedule, as defined by the recipient. For instance, two full-time employees and one part-time employee working half days would be reported as 2.5 FTE in each calendar quarter.
  - (3) A job cannot be reported both as created and retained.
  - (4) Additional guidance will be provided for reporting jobs created and retained.
- h. Additional or Modified Reporting Requirements. The Grantor may, from time to time as it deems appropriate and necessary, communicate specific instructions and requests to the Grantee concerning any additional reporting requirements related to the ARRA funds received under this Agreement.

2. Accessibility to Records and Project Sites.

- a. *Comptroller General of the United States Authority to Inspect.* Pursuant to Section 902 of ARRA the Comptroller General of the United States and his representatives have the authority to:
  - (1) Examine any records of the Grantee and any contractor and subcontractors of the Grantee that directly pertain to, and involve transactions relating to, the contract or subcontract, or of any State or local agency administering such contract; and
  - (2) Interview any officer or employee of the Grantee or any of its contractors or subcontractors, or of any State or local government agency administering the contract, regarding such transactions; and
  - (3) Designate a time and place to examine those records and interview those officers and employees described above.
- b. *Inspector General Authority to Inspect.* Pursuant to Section 1515(a) of ARRA, an Inspector General or any representative of an Inspector General has the authority to:
  - (1) Examine any records of the Grantee and any contractor and subcontractors of the Grantee that directly pertain to, and involve transactions relating to, the contract or subcontract, or of any State or local agency administering such contract; and
  - (2) Interview any officer or employee of the Grantee or any of its contractors or subcontractors, or of any State or local government agency administering the contract, regarding such transactions; and
  - (3) Designate a time and place to examine those records and interview those officers and employees described above.
- c. *Duty to Incorporate in Contracts.* To facilitate access to records and personnel by the Comptroller General and/or an Inspector General as described in paragraphs (a) and (b), the Grantee shall include verbatim in any agreement with a contractor, and shall cause each of

its contractors to include verbatim in any agreement with a subcontractor, from which the Grantee or a contractor acquires any goods or services for the Project the language set forth in paragraphs (a) and (b) of this Section 2.

3. Equal Employment Opportunities.

- a. *Compliance with Federal Laws.* In addition to the Grantor's equal employment opportunity requirements set forth in the Agreement, the Grantee shall comply and the Grantee shall obtain the agreement of each of its contractors and any subcontractors to comply, with all of the following federal laws pertaining to civil rights and anti-discrimination:

Title VI & Title VII of Civil Rights Act of 1964  
Equal Pay Act of 1962  
Age Discrimination in Employment Act of 1967  
Title IX of Educational Amendments of 1972  
Section 504 of the Rehabilitation Act of 1973  
Age Discrimination Act of 1975  
Title I & Title V of Americans with Disabilities Act of 1990  
Fair Housing Act  
Fair Credit Reporting Act  
Equal Educational Opportunities Act  
Uniform Relocation Act

Failure by the Grantee to comply with these laws shall constitute a breach of a material obligation of the Grantee and may result in termination of the Agreement.

- b. *Implementation Plan for Small and Disadvantaged Businesses.* The Grantee shall provide the Grantor an implementation plan for training and hiring minority and disadvantaged workers. The Grantee shall also demonstrate to the Grantor that when contractors are being hired by the Grantee, if applicable, small disadvantaged business enterprises are offered opportunities to bid on and receive contracted work on the Project. Information about the Grantee's outreach to small and disadvantaged business enterprises shall be provided to the Grantor when contracts are presented for review and approval in accordance with Section 1 of this Appendix A.

4. Job Postings. The Grantee shall post all jobs created by the Grantee resulting from the award of the contract and the use of ARRA funds on [www.ohiomeansjobs.com](http://www.ohiomeansjobs.com). The Grantee shall also require each of its contractors to post all jobs created by the contractor resulting from the award of this contract and the use of ARRA funds on [www.ohiomeansjobs.com](http://www.ohiomeansjobs.com). "Jobs created" are those positions created and filled or previously existing unfilled positions that are retained as a result of ARRA funding.

5. Protections for Individuals Reporting Compliance Issues (Whistleblower Protection).

- a. Pursuant to Section 1553 of ARRA, the Grantee and each of its contractors and any subcontractors are prohibited from discharging, demoting, or otherwise discriminating against any employee of the Grantee, contractor or subcontractor, as a reprisal for disclosing information that the employee reasonably believes is evidence of:

- (1) gross mismanagement of the contract relating to funds for the Project;
- (2) gross waste of ARRA funds;
- (3) substantial and specific danger to public health or safety related to the implementation or use of ARRA funds;
- (4) an abuse of authority related to the implementation of or use of ARRA funds; or
- (5) a violation of law, rule, or regulation related to the contract (including the competition

for or negotiation of the contract) relating to ARRA funds.

- b. ARRA authorizes an appropriate inspector general shall receive and investigate all complaints alleging a violation as described in paragraph (a) of this section.
  - c. All employers receiving ARRA funds, including the Grantee, its contractors and any subcontractors, shall post notice of employee rights as described above in conspicuous locations with other required employee rights information.
6. Construction Projects. For those construction projects for which the State uses ARRA funds for the construction, alteration, maintenance, or repair of a public building or public work, the following conditions apply:
- a. *Buy American*.
    - (1) Products: Pursuant to Section 1605 of ARRA, all steel, iron, and/or manufactured goods used in the construction project must be produced in the United States.
    - (2) Exception: The requirement set forth in clause (1) of this paragraph shall not apply if and only if the appropriate federal agency determines one of the following:
      - (a) The application of the requirement in clause (1) of this paragraph would be inconsistent with the public interest;
      - (b) That (i) the cost of domestic iron, steel, and/or manufactured goods would be unreasonable; or (ii) an insufficient amount of steel, iron, or relevant manufactured goods were produced and reasonably available in the United States; or (ii) that the steel, iron, or relevant manufactured goods is not produced in the United States. The cost of domestic iron, steel, and/or manufactured goods will be considered unreasonable when the cumulative costs of such material will increase the overall cost of the project by more than twenty-five percent (25%).

A Grantee, its contractors, and subcontractors must comply with the above requirement unless the Grantor obtains a waiver from the appropriate federal agency stating that at least one of the above-referenced exceptions applies. The Grantee, its contractors, or subcontractors shall notify the Grantor immediately and shall cooperate with the Grantor if the Grantor determines it will seek an exception to the Buy American requirements by appealing to the appropriate federal agency pursuant to rules and regulations in 2CFR Part 176, Federal Register Volume 74, No 77 ( April 23, 2009). The Buy American requirements shall be performed in a manner consistent with United States obligations under international agreements.

- b. *Prevailing Wage Rates and Labor Standards*. The Grantee and each of its contractor and any subcontractors shall pay all laborers and mechanics employed by the Grantee, contractor or subcontractors, respectively, on the Project not less than the prevailing wage determined under the "Davis-Bacon Act" for similar work in the civil subdivision for which the laborers and mechanics perform the work. In addition, the Contractor and subcontractors shall pay all laborers and mechanics overtime compensation in accordance with the provisions of the "Contract Work Hours and Safety Standards Act," 40 U.S.C. §§ 327 to 333. The Grantee, its contractors, and any subcontractors shall comply with all regulations issued pursuant to the above-referenced Acts and with all applicable federal and state laws and regulations.
7. Logos. The Grantee agrees to use the appropriate logos provided by the Grantor to indicate state or federal funding sources on all publicity or educational materials developed, in whole or in part, under this Agreement. Grantees receiving American Recovery and Reinvestment Act funding agree to display the Recovery Act Logo in a manner that informs the public that the project is a Recovery Act Investment.

State Energy Plan ARRA – Solar and Wind Deployment Systems

***Application Evaluation Section***

Ohio Department of Development  
Ohio Energy Office  
State Energy Plan - ARRA  
Solar and Wind Deployment Systems  
77 South High Street, 26th Floor  
Columbus, OH 43215-6130  
(614) 466-6797  
[Recovery.Boone@em.ohio.gov](mailto:Recovery.Boone@em.ohio.gov)

# SEP- ARRA Solar and Wind Deployment Systems

## Application Evaluation Sheet

This evaluation sheet is for use by the Solar and Wind Deployment Review Team, which includes representatives from the Ohio Department of Development's Ohio Energy Office and Technology Division, as well as from the Ohio Air Quality Development Authority and other stakeholders to evaluate applications received under the SEP ARRA Solar and Wind Deployment Request for Proposals.

A total of **100 points** is available when ranking each submitted application, allocated according to the following:

- A. Project Readiness
- B. Financials: Match, Financing, and Cost Effectiveness
- C. Economic Impact for Ohio
- D. Project Characteristics and Potential for Innovation

**An additional 10 points may be awarded to highly competitive projects.**

The items listed have been weighted appropriately to gauge the completeness and quality of each applicant's responses.

Each evaluator must complete one (1) evaluation sheet for each application received. Indicate the evaluator's name and date in the spaces provided.

Next to each item is a scoring range. For each item addressed by the applicant, rank the application to the degree indicated. The total evaluation score assigned to each application is then determined by adding the values from each section.

Evaluator Name: \_\_\_\_\_

Date: \_\_\_\_\_

Applicant Information	
Applicant Name: _____	
Project Description: _____	
Final Scoring	
Project Readiness (Maximum Score 30 Points)	_____ Points
Financials: Match, Financing and Cost Effectiveness (Maximum Score 10 points)	_____ Points
Economic Impact for Ohio (Maximum Score 50 Points)	_____ Points
Project Characteristics and Potential for Innovation (Maximum Score 10 Points)	_____ Points
Total Possible Score: <b>110 Points</b>	_____ (100 Points) + _____ Add 10 Points bonus if applicable <b>Final Score: _____</b>

## SEP- ARRA Solar and Wind Deployment Systems

### Project Readiness

	Minimal	Typical	Extraordinary
Demonstrated by submission of:	5	10	20
<p><b><u>Wind</u></b></p> <ul style="list-style-type: none"> <li>• Stamped engineering and construction drawings from an Ohio Structural Engineer marked ready for construction and installation of wind turbines and its foundations. (<b>Preliminary engineering and construction drawings will not be accepted</b>).</li> <li>• Engineering and construction drawings for the exact location where the wind turbine will be installed.</li> <li>• Wind resource information for the specified wind turbine including the wind speed and power output curve of the turbine.</li> <li>• Color Wind Resource Map with explanatory Legends at specified hub height of the turbine for the exact location where the wind turbine will be installed. (<b>Extrapolated or calculated wind resource information cannot be used to meet the Wind Resource Map requirement</b>).</li> <li>• Copy of Liability Insurance for the Ohio Structural Engineer.</li> <li>• Copy of Ohio Bureau of Worker's Compensation Certificate for the Structural Engineer.</li> <li>• Copy of plan to install a Kilowatt-hour meter (Wind and Solar PV projects only) to monitor the installed system output, document and submit 12 months of the installed system's performance data to the Ohio Energy Office.</li> </ul> <p><b><u>Solar</u></b></p> <ul style="list-style-type: none"> <li>• Copy of Solar Pathfinder results with a Clear Angle Estimate grid for solar photovoltaic systems or solar thermal water heating.</li> <li>• Solar Pathfinder information which includes solar radiation with and without shading at the site.</li> <li>• Copy of North American Board of Certified Energy Practitioners (NABCEP) Certificate for the Solar Installer or other acceptable minimum qualifications.</li> <li>• Copy of Ohio Plumber or Hydronics Contractors License for Solar thermal installers</li> <li>• Copy of Ohio Bureau of Workers' Compensation Certificate for the NABCEP solar installer.</li> <li>• Copy of plan to install a Kilowatt-hour meter (Solar PV and Wind projects only) to monitor the installed system output, document and submit 12 months of the installed system's performance data to the Ohio Energy Office.</li> </ul>	<p>_____</p>	<p>_____</p>	<p>_____</p>

<p><b>Minimal:</b> This project will move forward and be completed within 12 months as required.</p> <p><b>Typical:</b> Preliminary analysis of engineering and construction drawings, Technical Application Forms, Appropriateness, effectiveness, and efficiency of technology employed, vendor quotes. This project will move forward and be completed within 12 months.</p> <p><b>Extraordinary:</b> Engineering analysis and layout complete, capital budgets appropriations approved, financing in place (bank commitment letter addressing approval of loan(s) included). This project will move forward and be completed within 12 months.</p>			
<p><b>Regulatory Approvals</b></p> <p><b>Minimal:</b> This project has obtained no regulatory permits.</p> <p><b>Typical:</b> This project shows evidence of having contacted regulatory agencies.</p> <p><b>Extraordinary:</b> This project has all required regulatory permits.</p>	<b>0</b> <hr/>	<b>2</b> <hr/>	<b>5</b> <hr/>
<p><b>Utility Interconnection</b>  <b>(Solar and Wind electric systems only).</b>  <b>Solar thermal projects will be scored here for having all applicable permits.</b></p> <p><b>Minimal:</b> This project has obtained no utility interconnection agreements.</p> <p><b>Typical:</b> This project shows evidence of having contacted its appropriate utility.</p> <p><b>Extraordinary:</b> This project received a utility letter of intent and/or has a completed interconnection agreement.</p>	<b>0</b> <hr/>	<b>2</b> <hr/>	<b>5</b> <hr/>
<b>Total Points Available</b> <b>30</b>	<b>Applicant's Score</b> <hr/>		



**SEP- ARRA Solar and Wind Deployment Systems**

**Financials: Match, Financing, and Cost Effectiveness**

	<b>Minimal</b>	<b>Typical</b>	<b>Extraordinary</b>
<p>A match higher than the required 50% is preferred.                      The applicant's match investment is _____.</p> <p><b>Minimal:</b> Match is 50%;  <b>Typical:</b> Match is between 50.1-65% (2pts.)  <b>Extraordinary:</b> Match is over 65% (5 points)</p>	<p><b>0</b></p> <p>_____</p>	<p><b>2</b></p> <p>_____</p>	<p><b>5</b></p> <p>_____</p>
<p>This project shows evidence of financing committed or arranged to cover balance of total project costs.</p> <p><b>Minimal:</b> All match investments are committed by letter.  <b>Typical:</b> 50% of the match is supported by executed agreements/contracts and/or evidence of cash availability.  <b>Extraordinary:</b> 100% of the match is supported by executed agreements/contracts and/or evidence of cash availability.                      Please Note: Match investments made prior to date of the agreement must be supported by purchase orders, canceled checks, or other evidence of payment for the service and/or good.</p>	<p><b>0</b></p> <p>_____</p>	<p><b>2</b></p> <p>_____</p>	<p><b>3</b></p> <p>_____</p>
<p>Project cost effectiveness as measured by total project costs divided by kW (solar PV), kW/h (wind electric), and KBtu per day (solar thermal) of renewable energy power generated. The higher the cost/kW, kW/h or KBtu, the lower the score.</p> <p><b>Minimal:</b> Project cost effectiveness is in lower third of applications.  <b>Typical:</b> Project cost effectiveness is in middle third of applications.  <b>Extraordinary:</b> Project cost effectiveness is in upper third of applications.</p>	<p><b>0</b></p> <p>_____</p>	<p><b>1</b></p> <p>_____</p>	<p><b>2</b></p> <p>_____</p>
<p><b>Total Points Available</b>  <b>10</b></p>	<p><b>Applicant's Score</b></p> <p>_____</p>		

**SEP- ARRA Solar and Wind Deployment Systems**

**Economic Impact for Ohio**

	<b>Minimal</b>	<b>Typical</b>	<b>Extraordinary</b>
<p>The number of Ohio jobs created and/or retained during construction, and during operation of the solar or wind turbines. Construction hours = person hours required for site preparation, installation of equipment and interconnection. Only assess jobs <b>directly associated</b> with the construction and/or operation of the project. Documentation for payment of federal Prevailing Wage (Davis-Bacon Act).</p> <p><b>Minimal:</b> Construction only.  <b>Typical:</b> Construction/operation.  <b>Extraordinary:</b> Construction/operation with breakdown of hours.</p>	<p><b>5</b></p> <p>_____</p>	<p><b>13</b></p> <p>_____</p>	<p><b>25</b></p> <p>_____</p>
<p>Potential for Ohio job creation and/or retention through use of Ohio-made components, Ohio suppliers, and/or Ohio-employed installers not directly employed by applicant. Applicant should be able to express this multiplier effect in terms of specific numbers or as a factor multiplier of the direct jobs created.</p> <p><b>Minimal:</b> Applicant is creating 5 or fewer indirect Ohio-based jobs.  <b>Typical:</b> Applicant is creating 6 – 20 indirect Ohio-based jobs.  <b>Extraordinary:</b> Applicant is creating 21 or more indirect Ohio-based jobs.</p>	<p><b>0</b></p> <p>_____</p>	<p><b>10</b></p> <p>_____</p>	<p><b>25</b></p> <p>_____</p>
<p><b>Total Points Available</b>  <b>50</b></p>	<p><b>Applicant's Score</b>  <p>_____</p> </p>		

**SEP- ARRA Solar and Wind Deployment Systems**  
**Project Characteristics & Potential for Innovation**

	<b>Minimal</b>	<b>Typical</b>	<b>Extraordinary</b>
<p>Innovative nature of solar and wind deployment projects, as measured by uniqueness of the project in addressing unemployment and other distressed economic conditions in Ohio. Annual Million British Thermal Units (MMBTU) saved and reduction in greenhouse gases, kW (solar and wind electric projects) or KBtu (solar thermal) of renewable energy generated and other pollutants that results from the project</p> <p><b>Minimal: Not an innovative project in addressing unemployment and other distressed economic conditions in Ohio.</b></p> <p><b>Typical: Project marginally addressed the unemployment and other distressed economic conditions in Ohio.</b></p> <p><b>Extraordinary: Project exceptionally addressed unemployment and other distressed economic conditions in Ohio.</b></p>	<b>0</b> <hr/>	<b>2</b> <hr/>	<b>5</b> <hr/>
<p>Previous experience of the applicant installers staff in deploying solar and wind projects in Ohio. Appropriateness of the technologies proposed for carrying out the proposal.</p> <p><b>Minimal:</b> No previous experience with deployment of solar or wind projects in Ohio.</p> <p><b>Typical:</b> Limited experience. Has been in business for less than three years and installed at least three solar or wind deployment projects. Two of such projects must be tied to an electric grid.</p> <p><b>Extraordinary:</b> Has been in business for over five years and installed more than five grid-tied solar or wind projects.</p>	<b>0</b> <hr/>	<b>2</b> <hr/>	<b>5</b> <hr/>
<b>Total Points Available</b> <b>10</b>	<b>Applicant's Score</b> <hr/>		

**Bonus Points**

**Bonus Points:** The applicant exceptionally addressed Ohio-based employment as well as deployment of commercially available advanced energy equipment and other adverse economic conditions in Ohio. The application rises to a level of degree higher than most other applications received by ODOD. Examples include, but are not limited to: exceptional integration of other renewable energy technologies with the solar and wind deployment projects to achieve greater efficiency and effectiveness of the proposed systems; identification of potential solutions to current market barriers to increased use of solar and wind energy systems in Ohio; speed of project readiness. (0 – 10 pts.)

**Bonus Points**

\_\_\_\_\_

**Applicant's Final Score:** \_\_\_\_\_

# CHECKLIST

Submit one original and two copies of this form and the following:

Please initial all applicable attachments that are included in your application:

Application Form completed and signed

Exhibit I – Summary of planned activity or project and associated costs

Exhibit II – Contact Information Form

Exhibit III – Financial Liability and Certification

Exhibit IV – Job Creation Table

Exhibit V – Job Retention Table

Exhibit VI – Assurance of Compliance of Nondiscrimination in Federally Assisted Programs

Exhibit VII – Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements

Project Technical Worksheet

Technical Documentation

Budget and Explanation of Budget

Federal approved indirect cost rate agreement (if applicable)

Tax information Disclosure Authorization - completed and signed by applicant

W-9 - completed and signed by applicant

Vendor Information Form - completed and signed by applicant

Declaration regarding Material Assistance/Nonassistance to a terrorist organization (DMA) form completed and signed by applicant

I have read the Ohio Energy Office Audit Policy and have reviewed the following OMB Circulars for guidance:

Nonprofit Organizations:

Circular # A-110, A-122, and A-133

Units of Government:

Circular # A-87, A-102, and A-133

Educational Institutions (higher education):

Circular # A-110, A-21, and A-133

These circulars can be found on the Office of Management and Budget (OMB) Federal website at:  
[www.whitehouse.gov/omb/circulars](http://www.whitehouse.gov/omb/circulars)

## REQUIREMENTS:

Davis-Bacon

Buy-America

## NEPA

All Projects receiving financial assistance from DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. The first step in DOE's NEPA review process requires financial assistance recipients to submit information to DOE regarding the potential environmental impacts of the project receiving DOE funds. Applicants must complete the Environmental Checklist (DOE PMC EF-1) on-line at the following site:  
<https://www.eere-pmc.energy.gov/NEPA.asp>

## DUNS Number

If your organization does not have a DUNS number, go to the Dun & Bradstreet (D&B) online registration located at <http://fedgov.dnb.com/webform/displayHomePage.do> to receive a number free of charge or call 1-866-705-5711.

## CCR Registration

- The Central Contractor Registration (CCR) collects, validates, stores, and disseminates business information about the Federal Government's trading partners in support of the contract award, grants, and the electronic payment processes.
- To see if your organization is already registered with CCR, check the CCR website located at <http://www.bpn.gov/ccrinq/scripts/search.asp>. You will be able to search CCR by using either your organization's DUNS Number or legal business name. If your organization is already registered, take note of who is listed as the organization's E-Business Point of Contact (E-Business POC).  
If your organization is not registered in CCR, go to the CCR Website at [www.ccr.gov](http://www.ccr.gov) and select the "Start New Registration" option to begin the registration process. Please allow up to 7 days for processing of your registration which includes the IRS validating your Employer Identification Number (Taxpayer Identification Number or Social Security Number). The organization's E-Business POC will be designated during the CCR registrations process. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

Application Form

Applicant Name: \_\_\_\_\_

Company Legal Name: (if different from above) \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ -

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

County: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_ Website Address: \_\_\_\_\_

Tax ID No: \_\_\_\_\_ Congressional District: \_\_\_\_\_

Central Contractor  
Registration #: \_\_\_\_\_ DUNS #: \_\_\_\_\_ NAICS # \_\_\_\_\_

Business Type (as identified by CCR #): \_\_\_\_\_

Is your business currently certified as :  
 MBE (Minority Business Enterprise)     EDGE (Encouraging Diversity Growth & Equity)

**Employment Profile**

Job Creation: Complete Exhibit V Job Creation Table. Enter total number of full and part-time jobs below.  
 Department of Energy recommendation is one (1) job per each \$92,000 of total project cost.

Current employment level as of July 1, 2009 \_\_\_\_\_

Total number of jobs created:  
     Full Time \_\_\_\_\_  
     PartTime \_\_\_\_\_

Job Retention: Complete Exhibit IV Job Retention Table Enter total number of full and part-time jobs below.

Total number of jobs retained:  
     Full Time \_\_\_\_\_  
     PartTime \_\_\_\_\_

Current Goals: Full Time: \_\_\_\_\_ PartTime: \_\_\_\_\_

Employment Level Projected for June 30, 2011 \_\_\_\_\_

As an authorized agent of the Applicant, I hereby submit this Application to the State of Ohio, Department of Development, Ohio Energy Office. I understand that any false statement in this record may subject the Applicant and Signer to criminal prosecution. I understand that additional information may be requested. I also understand that this document in no way constitutes a commitment of funds by the State of Ohio for any of its programs.

I hereby represent and certify that the foregoing and attached information, to the best of my knowledge and belief, is true, complete, and accurately describes the proposed activity/project for which the financial assistance is being sought. I am aware of Ohio Revised Code Sections 9.66(C) and 2921.13(D)(1) which outline penalties for falsification which could result in the return of all monies received and the forfeiture of all current and future financial assistance benefits as well as a fine of not more than \$1,000 and/or a term of imprisonment of not more than one hundred and eighty (180) days. I further agree to inform the Ohio Department of Development of any changes in the foregoing information, which may occur prior to the time the Applicant and the Ohio Department of Development execute an Agreement. Further, I hereby authorize the Ohio Department of Development to contact the Ohio Environmental Protection Agency to confirm statements contained within this application and to review applicable confidential records.

The undersigned warrants, certifies, and represents that certain information in their application may be subject to the Open Public Records Act.

Applicant Signature \_\_\_\_\_ Typed Name \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_



**EXHIBIT II**

**Contact Information Form**

Applicant Name: \_\_\_\_\_

Certifying Officer

Chief Financial Officer

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Board Chair

List of Board Members/Title

Name: \_\_\_\_\_

\_\_\_\_\_

Title: \_\_\_\_\_

\_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

City/State/Zip: \_\_\_\_\_

\_\_\_\_\_

Zip: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Check the appropriate box below and provide the names and total compensation of the five most highly compensated officers of your organization on a separate sheet if the following applies:

In the applicant's preceding fiscal year, the applicant received:

- a.) 80 percent or more of its annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- b.) \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
- c.) The public does not have access to information about the compensation of the senior 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.

Does not apply

Applies (list attached)



## EXHIBIT III

### Financial Liability and Certification

#### Financial Liability:

Explain any outstanding financial liabilities the applicant and/or company have with state or local governments in Ohio. Whether or not the amounts are being contested in a court of law, does the applicant and/or company owe:

a.) Any delinquent taxes to the State of Ohio (the "State"), a state agency, or a political subdivision of the State such as a city or county?

Yes  No

b.) Any monies to the State or a state agency for the administration or enforcement of the environmental laws of the State?

Yes  No

c.) Any other monies to the State, a state agency, or a political subdivision of the State that are past due?

Yes  No

d.) Is the company the subject of any existing tax lien?

Yes  No

#### Certification:

Has the applicant, related companies, or any officers:

a.) Been convicted of a felony

Yes  No

b.) Been convicted of or enjoined from any violation of state or federal securities law?

Yes  No

c.) Been a party to any consent order or entry with respect to an alleged state or federal securities law violation?

Yes  No

d.) Been a defendant in a civil or criminal action?

Yes  No

If you have answered yes to any of the above, please provide a detailed explanation including, but not limited, to the location, amounts, and case identification numbers (if applicable) on a separate sheet.

**Government and Non-Profits: Provide a copy of the most recent audit report or annual report.**



**EXHIBIT V  
JOB RETENTION TABLE**

A Job Title	B Hrs/Wk per Employee	C Wk/Yr per Employee	D Hourly Wage	E # of Employees	G Outside Training Required	
					Yes	No
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
	FT:					
	PT:					
<b>Total</b>					FT:	
					PT:	

Attach additional sheets if necessary

## Budget Information

Applicant Name: \_\_\_\_\_

Proposed Project Date: From: \_\_\_\_\_ To: \_\_\_\_\_

### SUMMARY OF BUDGET:

	Budget Categories	Budget Amount
1	Personnel	
2	Fringe Benefits	
3	Indirect Costs	
4	Travel/transportation	
5	Equipment	
6	Supplies	
7	Contractual/Subaward or Subrecipient	
8	Other Direct Costs	
9	Plant implementation/assessment	
10.	Other (Identify)	
11.		

**Total Budget Amount:** \$ \_\_\_\_\_ -

Detail on each of the budget categories should be provided on the next pages titled  
Explanation of Budget Categories attached:

## EXPLANATION OF BUDGET CATEGORIES

### 1. PERSONNEL:

Identify positions to be supported, under the proposed award. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the projected amount of hours to be expended, the base pay rate, total direct personnel compensation and identify the rate basis (e.g. actual salary, labor distribution report, state civil rates, etc.).

Title	Hours	Pay Rate	Total Compensation	Rate Basis
Total personnel costs:		\$		

### 2. FRINGE BENEFITS:

Calculate a fringe benefit rate based upon personnel costs. List the types of expenses included in the rate, e.g. FICA, Workers Compensation, unemployment, pensions, etc.

List of Expenses	Percent of Cost	Total Percent of Cost	X	Personnel Costs	=	Fringe Benefit Cost
Total Fringe Benefit Costs:					\$	

### 3. INDIRECT COSTS:

The budgeted amount equals the calculation of personnel costs times indirect cost rate. Attach a copy of the entity's federally approved indirect cost rate. (if applicable)

Personnel Costs		X	Indirect Cost Rate	=	Indirect Costs

### 4. TRAVEL:

Travel rules for grantees are governed by the lesser of the organization's travel policy or the Federal travel rules. ([www.gsa.gov](http://www.gsa.gov))

1. What travel rules are your organization governed by?

State  Federal  Company/organizational

2. For all travel provide information in the tables below. Purpose of travel are items such as professional conferences, ODOD sponsored meetings, project management, local mileage etc. Foreign travel requires separate prior written grantor approval.

Purpose of travel	No. of Travelers	Cost Per Trip
Total travel costs:		\$

**5. EQUIPMENT:**

Generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Equipment purchase requires separate prior written grantor approval.

List all of the proposed equipment below.

Equipment Item	Qty	Unit	Cost
Total equipment costs:			\$

**6. SUPPLIES:**

Generally defined as an item with an acquisition cost of \$5,000 or less and a useful like expectancy of less than one year.

If the total supply costs are greater than 20% of the total project costs, or \$25,000 whichever is greater, please provide the detail below.

General Category of Supplies	Qty.	Unit Cost	Total Cost	Justification of need
Total cost of supplies			\$	

**7. CONTRACTUAL/SUBAWARD:**

List all contractors used in the project and indicate the purpose of each contractor's participation and the total estimated costs for each. Note: Board members and/or employees of the organization are not eligible for contractor services.

Name/Organization	Purpose	Total Projected Costs
Total Projected Costs:		\$

**8. OTHER DIRECT COSTS:**

Other direct costs are items of cost required for the specific project (such as meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.), that cannot be properly included in the above categories.

Provide the information below for other direct costs that are greater than or equal to 20% of the total project costs or \$25,000, whichever is greater.

General description	Cost	Justification of need
Total of other direct costs:		\$

**9. PLANT IMPLEMENTATION/ASSESSMENT**

Enter costs for energy assessment.

## **Project Technical Worksheet**

State Energy Plan – Solar and Wind Deployment Systems (ARRA)



# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Project Technical Checklist

Submit one original and three copies of the following:

Please initial all applicable attachments that are including in your application:

### Applicant Information:

#### Third Party Applicants

Summary of entity including all owners/partners' names and contact information

Signed copy of Partnership Agreements that establish third party entity

Signed copy of agreements that establish permission for equipment to be installed/signed by property owner

Signed copy of Power Purchase Agreement for the sale or distribution of the generated electricity

Signed copy of pro forma showing amortization period for Power of Purchase Agreement

### Technical Information:

#### Project Application

##### All Projects:

Itemized project cost from contractor

Site map with the installation address and installers name and telephone number

Copy of Interconnection and Net Metering Agreement -if applicable

Zoning approval documentation - if applicable

Supporting documentation if local permits or licensed contractors are required

##### Wind Projects:

\*\*Wind resource information for the specified wind turbine including wind speed and power output curve of turbine (include shop drawing and specifications of the turbine from the manufacturer)

Color mean annual wind speed map at hub height of planned system with explanatory legends and exact project location identified on the wind map. The source for the color annual wind speed map must be included on the wind map. **Note: The mean annual wind speed map must correspond to specified hub height of the turbine. Extrapolated, averaged, or calculated wind information cannot be used to meet this requirement. When an annual wind speed map shows a range, the lowest range must be used to determine applicable grant incentives.**

Wind Energy project towers and foundations stamped by a Registered Professional Engineer specializing in structural engineering and duly licensed to practice engineering in the State of Ohio. **Note: All engineering and construction drawings related to wind energy projects submitted with this application must be ready to immediately commence construction. Preliminary engineering and construction drawings for wind projects will be rejected.**

Copy of wind manufacturers' training certificate.

##### Solar Projects:

\*\*Copy of the Solar Pathfinder with a Clear Angle Estimator Grid or its equivalent - for solar photovoltaic systems or solar thermal water heating. The solar site analysis must include information on actual solar radiation with and without shading at the site.

Copy of the North American Board of Certified Energy Practitioners (NABCEP) Certificate for the Solar Installer or copy of the Certificate of Completion from an Interstate Renewable Energy Council (IREC) Institute for Sustainable Power Quality (ISPQ) accredited PV (for solar electric applicants and/or solar thermal (for solar thermal applicants) training, or a PV manufacturers training program and evidence of having successfully installed a minimum of three grid-connected PV or solar thermal systems within the United States of America. **Note: The installer must be in good standing and duly registered with the Ohio Secretary of State to do business in Ohio.**

Copy of Ohio Bureau of Workers' Compensation compliance Certificate for the installers

**Copy of Certificate of Liability Insurance for the Installers**

**Copy of Ohio Plumber or Hydronics Contractors' license for solar thermal installers**

All funded projects will be required to install a kilowatt-hour meter (solar PV and wind projects only), monitor system output, and document and submit twelve months of system performance data. Did you include a description of the metering, measurement, and/or monitoring system you plan to install?

\*\*Must be provided (as applicable).

# State Energy Plan – Solar and Wind Deployment Systems (ARRA) Application

## Form: Requirements/Instructions/Terms and Conditions

Before completing the attached Application Form and the related Technical Worksheet, please carefully read all of the information in Sections A, B and C, below.

### A. Qualification Requirements

1. Projects must be installed at an Ohio site.
2. Projects must be tied to the electrical grid.
3. Portable systems are not eligible for grants under this Program.
4. The system must be installed in accordance with requirements specified in the Technical Worksheet for that type of equipment (i.e., solar electric, wind or solar thermal), and it must come with owner's manuals and warranty documentation.
5. All project components must be new equipment and come with a manufacturer's warranty. In cases where the installing contractor custom builds components, the installing contractor must provide a minimum 5-year warranty on those components.
6. **Project equipment must NOT be ordered, purchased, or installed prior to having an executed grant agreement with the ODOD. Initiating the project prior to the execution of the grant agreement will nullify any award of grant funds.**
7. When zoning clearance is required, a letter of zoning approval by the governmental authority having jurisdiction over the site must be submitted with the application.
8. In jurisdictions that are governed by local or state building regulations, all applicable permitting, licensing and codes must be followed.
9. In jurisdictions that are not governed by local or state building regulations, an electrician licensed by the Ohio Construction Industry Licensing Board (OCILB) must approve all electrical work.
10. In jurisdictions that are not governed by local or state building regulations, a plumber or hydronics contractor licensed by the Ohio Construction Industry Licensing Board (OCILB) must approve all solar thermal systems.
11. Projects must be completed within 12 months of an award.
12. Solar PV/solar thermal projects must be installed by NABCEP certified installers in good standing with the Ohio Secretary of State and NABCEP or installers that completed an IREC-ISPQ accredited PV training program or a PV/solar thermal manufacturers' training program; and successfully installed three grid-connected solar PV or solar thermal systems in the United States of America. The installer must provide evidence of Liability Insurance and Ohio Bureau of Workers' Compensation compliance. **References for the three systems must be attached. Copy of Ohio Plumber or Hydronics Contractors' license will be required for solar thermal installers.**
13. Wind energy projects must be installed by an installer or a company that has completed a wind manufacturers' training program and performed a minimum of three verifiable grid-connected wind energy generating systems. A copy of the wind manufacturers' training certificate and references of the three systems must be attached.
14. Copy of the Solar Pathfinder with a Clear Angle Estimator Grid or its equivalent - for solar photovoltaic systems or solar thermal water heating. The solar site analysis must include information on solar radiation with and without shading at the site. Also, any grant award will be reduced by the percentage of shading at the site as shown on the solar analysis with shading result. All funded projects will be required to install a kilowatt-hour meter (solar PV and wind projects only), monitor system output, and document and submit twelve months of system performance data. Description of the metering, measurement, and/or monitoring system you plan to install will be required.
15. Solar PV and Wind Energy project components must be approved by the Underwriters Laboratory (UL).
16. Wind Energy project towers and foundations must be stamped by a Registered Professional Engineer specializing in structural engineering. This Registered Professional Engineer must be in good standing and duly licensed to practice engineering in the State of Ohio. All stamped engineering and construction drawings for wind projects must be ready to immediately commence construction. **Preliminary engineering and construction drawings for wind projects will not be accepted.**
17. Wind Energy systems proposals must include the system's wind speed performance curves (power output) and average wind speed for the proposed site at the proposed hub height. Applicable shop drawings and

specifications of the proposed wind turbine from the manufacturer must be included. **Wind turbines designed to be at a hub height of 80 feet (24 meters) or above will be preferred.**

18. Color mean annual wind speed map at hub height of planned system with explanatory legends and exact project location identified on the wind map must be submitted. The source for the color wind map must be included on the wind map. **Note: The wind map must correspond to specified hub height of the turbine. Extrapolated, averaged, or calculated wind information cannot be used to meet this requirement. When an annual wind speed map shows a range, the lowest range must be used to determine applicable grant incentives.**

## **B: Instructions For Completing The Form**

1. Complete all Sections of the Project Application Form and all sections of the appropriate Technical Worksheet. All information is necessary for processing the application. Illegible or incomplete application forms and/or technical worksheets will not be processed.
2. Mail one original and two copies of the completed Project Application Form, appropriate Technical Worksheet and all required documentation to the Ohio Energy Office, 77 South High Street, 26<sup>th</sup> Floor, P.O. Box 1001, Columbus, Ohio 43216-1001. **Retain a copy for your files.**
3. Once your Application Form has been reviewed and approved, you will receive a confirmation letter. To be eligible to receive a program grant, you must have a signed Grant Agreement prior to purchasing the equipment.
4. Applicant must purchase a qualifying system and have it installed according to Program Installation Requirements. Any changes between the initially proposed system and the installed system must be fully documented and are subject to approval by the Ohio Energy Office.
5. After the approved system is installed, the Applicant must submit the following: a completed Final Grant Application Form; invoice copies; proof of payment (copies of cancelled checks and credit card receipts); and a copy of the completed Interconnection Agreement and Electrical Code Inspection.
6. After the installation is completed and the system has passed the applicable NEC code inspection, the Program Monitor is to be notified to schedule the final inspection. When the system passes this inspection and all appropriate paper work is submitted, the payment will be processed.

## **C. Important Terms and Conditions**

1. To receive the grant, Applicant must agree to an inspection by an Ohio Energy Office representative or designated contractor. Applicant must also agree to allow monitoring of the facility's energy usage to verify savings.
2. To qualify for a grant, the Applicant must comply with the Installation Requirements in the appropriate Technical Worksheet.
3. Grants are intended to enhance the affordability of clean energy generation systems. Systems should be installed according to manufacturer's instructions. For systems installed inconsistent with such requirements, the Rated System Output may be de-rated.
4. Installation must comply with the host utility's Interconnection Requirements, which are available online; these include Operation/Disconnection Procedures, as well as Liability/Indemnity and Insurance Requirements according to the size of the project.
5. For information on Simplified Interconnection and Net Metering, please contact your local utility company.
6. Information may be subject to the Open Public Records Act requirements. Aggregated Information will be used in reports and evaluations.
7. The Ohio Energy Office reserves the right to modify or withdraw this program. Program procedures and grant levels are subject to change or cancellation without notice. Approved projects will be honored under the terms stated in the Grant Agreement.

# State Energy Plan – Solar and Wind Deployment Systems (ARRA) Project Technical Worksheet

## A. Customer Information

Applicant Name: \_\_\_\_\_

Applicant Type:

Industrial  Commercial  Local Government   
Educational  Non-Profit  Agricultural  Other \_\_\_\_\_

## B. Project Information

Project Type:

Solar Photovoltaic  Wind Electric  Solar Thermal

- l. No equipment may be purchased prior to grant approval. Has applicant purchased any equipment for which funds are requested? Yes  No

## C. Contractor/Installer

Installing Contractor:

Company Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

- . All funded projects will be required to install a kilowatt-hour meter (solar PV and wind projects only), monitor system output, and document and submit twelve months of system performance data. Describe the metering, measurement, and/or monitoring system you plan to install.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Supply three references to previous systems installed:

Reference #1:

Company Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Project Start Date: \_\_\_\_\_ Project Completion Date \_\_\_\_\_

Utility Company Name: \_\_\_\_\_ Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_ Telephone \_\_\_\_\_

Provide a short description of the project: \_\_\_\_\_  
\_\_\_\_\_

# State Energy Plan – Solar and Wind Deployment Systems (ARRA) Project Technical Worksheet

Reference #2:

Company Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Project Start Date: \_\_\_\_\_ Project Completion Date: \_\_\_\_\_

Utility Company Name: \_\_\_\_\_ Contact name: \_\_\_\_\_

Address: \_\_\_\_\_ Telephone: \_\_\_\_\_

Provide a short description of the project: \_\_\_\_\_

Reference #3:

Company Name: \_\_\_\_\_ Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_

Project Start Date: \_\_\_\_\_ Project Completion Date: \_\_\_\_\_

Utility Company Name: \_\_\_\_\_ Contact name: \_\_\_\_\_

Address: \_\_\_\_\_ Telephone: \_\_\_\_\_

Provide a short description of the project: \_\_\_\_\_

## D. Customer And Installer Certification

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Applicant Signature	Typed Name	Title	Date
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The undersigned warrants, certifies and represents that 1) the above described generating system is sized to meet the customer's electrical loads; 2) the Installer/Contractor has explained and provided manuals related to the system operation and maintenance to the customer (Applicant); 3) the installation will meet all requirements; and 4) authorizes Ohio Department of Development to verify information provided in this document.

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Installer Signature	Typed Name	Title	Date
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# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Solar Photovoltaic Systems – Instructions

Please carefully read all of the following information. **With the help of your Installation Contractor**, fully complete Sections A through D of the attached Technical Worksheet for Photovoltaic Systems.

### Installation Requirements

#### Installation Requirements:

Equipment installation must meet the following minimum requirements in order to qualify for the provisions of the Request for Proposals (RFP); proposed deviations from the requirements will be considered, but they must be documented by the Applicant or Installation Contractor and approved by the Ohio Energy Office. These requirements are not all encompassing and are intended only to address certain minimum safety and efficiency standards.

#### A. Code Requirements

1. The installation must comply with the provisions of the National Electrical Code (NEC) and all other applicable local, state, or federal codes or practices.
2. All required permits must be properly obtained and posted.
3. All required inspections must be performed (i.e., Electrical/NEC, Local Building Code Offices, etc).

#### B. Photovoltaic Array

1. Modules must be UL Listed and must be properly installed according to manufacturer's instructions.
2. The maximum amount of sunlight available year-round on a daily basis should not be obstructed. Your installer must use a Solar Pathfinder or its equivalent and submit a Solar Site Analysis Report with this application. Grant awards will be reduced by the percent of shading found on the Solar Site Analysis Report under the column that reads Actual Solar Radiation with Shading.
3. System wiring must be installed in accordance with the provisions of the NEC.

#### C. Inverter and Controls

1. The inverter and controls must be properly installed according to the manufacturer's instructions.
2. The inverter must be certified as compliant with the requirements of IEEE 929 for small photovoltaic systems and with UL 1741.
3. The system should be equipped with the following visual indicators and/or controls:
  - On/off switch
  - Operating mode setting indicator
  - AC/DC over-current protection
  - Operating status indicator.
4. Warning labels must be posted on the control panels and junction boxes indicating that the circuits are energized by an alternate power source independent of the utility-provided power.
5. Operating instructions must be posted on or near the system.

#### D. Control Panel to Photovoltaic Array Wire Runs

1. Areas where wiring passes through ceilings, walls, or other areas of the building must be properly restored and sealed.
2. All interconnecting wires must be copper.
3. Thermal insulation in areas where wiring is installed must be replaced to "as found or better condition." Access doors to these areas must be properly sealed and gasketed.
4. Wiring connections must be properly made, insulated, and weather-protected.
5. All wiring must be attached to the system components by the use of strain reliefs or cable clamps, unless enclosed by conduit.
6. All outside wiring must be rated for wet conditions and/or encased in liquid-tight conduit.
7. Wiring insulation located in areas with potential high ambient temperature must be rated at 90° C or higher.
8. All wiring splices must be contained in UL-approved workboxes.

#### E. Batteries (if applicable)

1. Batteries must be installed according to the manufacturer's instructions.
2. Battery terminals must be adequately protected from accidental contact.
3. DC-rated over-current protection must be provided in accordance with the provisions of the NEC.
4. All battery boxes must be ventilated outside to daylight.

# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Solar Photovoltaic Systems

Customer Name: \_\_\_\_\_ Application Number: \_\_\_\_\_  
(Assigned by the ODO)

### A: Equipment Information

1. PV Module Manufacturer: \_\_\_\_\_ Module Model Number: \_\_\_\_\_
2. Power Rating per Module: \_\_\_\_\_ DC Watts (refer to STC conditions) Number of Modules: \_\_\_\_\_
3. Total Array Output: \_\_\_\_\_ DC Watts (Number of modules x power rating)
4. Inverter Manufacturer: \_\_\_\_\_ Inverter Model Number: \_\_\_\_\_
5. Inverter's Continuous AC Rating: \_\_\_\_\_ AC Watts Number of Inverters: \_\_\_\_\_
6. Total Inverter Output: \_\_\_\_\_ AC Watts (Inverter Continuous AC Rating x Number of Inverters)
7. Inverter's Peak Efficiency: \_\_\_\_\_ (refer to manufacturer's peak efficiency rating)
8. System Rated Output (for utility interactive systems): \_\_\_\_\_ AC Watts (multiply line 3 by line 7)
9. Battery Manufacturer (if applicable): \_\_\_\_\_ Battery Type and Model Number: \_\_\_\_\_
10. Storage Capacity: \_\_\_\_\_ Amp-hours Number of Batteries: \_\_\_\_\_
11. Total Storage Capacity: \_\_\_\_\_ Total Amp-hours (Storage Capacity x Number of Batteries)

### B: Proposed Installation/Interconnection Information

1. PV Array Location:  Rooftop  Pole Mount  Ground Mount  Other: \_\_\_\_\_
2. PV Module Orientation: \_\_\_\_\_ degrees (e.g., 180 degrees magnetic south)
3. PV Module Tilt: \_\_\_\_\_ degrees (e.g., flat mount = 0 degrees; vertical mount = 90 degrees)
4. PV Module Tracking:  Fixed  Single-axis  Double-axis
5. Is the PV system designed as "Building Integrated Photovoltaics" or BIPV? Yes  No   
Explain: \_\_\_\_\_
6. What percent (%) of the total annual load is the PV system designed to offset? \_\_\_\_\_
7. To determine shading issues, your installer must use a Solar Pathfinder or its equivalent and submit a Solar Site Analysis Report with this application. Grant awards will be reduced by the percent of shading found on the Solar Site Analysis Report under the column that reads Actual Solar Radiation with Shading. Describe ANY shading here (in percentage (%) only):  
\_\_\_\_\_
8. Inverter Location:  Indoor  Outdoor Location: \_\_\_\_\_
9. System Type and Mode of Operation:  
 Utility interactive (parallel/capable of back-feeding the meter)  
 Utility interactive with battery backup (capable of back-feeding the meter)  
 Dedicated circuit, utility power as backup (transfer switch)  
 Dedicated circuit, battery charging, utility power as backup (transfer switch)
10. A one-page site map must accompany this application. The map must indicate the location of the PV panels, the inverter, batteries (if any), lockable disconnect switch, and point of connection with the utility system. The installation address and the installer's name and telephone number must also be included on the site map.  
Please initial that this has been included: \_\_\_\_\_
11. A copy of the Interconnection and Net Metering Agreements must be sent to OEO before the grant will be issued.
12. What, if any, local zoning or siting restrictions may affect the project installation (zoning approval documentation must be attached)? \_\_\_\_\_
13. What, if any, local permits or licensed contractors will be required (attach all supporting documentation if required)? \_\_\_\_\_

# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Solar Photovoltaic Systems

Customer Name: \_\_\_\_\_ Application Number: \_\_\_\_\_  
(Assigned by the ODO)

### C. Incentive Request Calculation

Incentive Calculation (Calculate appropriate incentive based on **System Rated Output**):

1. System rated output (Section A, line 3 above): \_\_\_\_\_ DC Watts x \$3.00/Watt = \$ \_\_\_\_\_ - % Shading  
\_\_\_\_\_ = \$ \_\_\_\_\_

**Note: A minimum of 75 KW of Direct Current (DC) is required to be considered for the solar electric grant award.**

2. Total Installed System Cost: \$ \_\_\_\_\_ x 0.5 = \$ \_\_\_\_\_

3. Maximum incentive allowed: \$1,000,000

4. Requested Incentive (Enter the SMALLEST number from C1, C2, or C3): \$ \_\_\_\_\_

5. Cost per kW of the installed solar (PV) system: \$ \_\_\_\_\_  
(Total project cost divided by the kW (rated output) of solar energy generated by the solar (PV) system.)

(Eligible installed system costs include PV panels and balance of system equipment, installation, and applicable interconnection costs before the incentive.)

### D. Warranty Information

1. Module: \_\_\_\_\_ Years at \_\_\_\_\_ % Rated Power Output

2. Inverter: \_\_\_\_\_ Years

3. Batteries: \_\_\_\_\_ Years

4. Installation: \_\_\_\_\_



# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Wind Electric Systems – Instructions

Please carefully read all of the following information. With the help of your Installation Contractor, fully complete Sections A through D of the attached Technical Worksheet for Wind Electric Systems.

### Installation Requirements

#### Installation Requirements:

Equipment installation must meet the following minimum requirements in order to qualify for the provisions of the Request for Proposals (RFP); proposed deviations from the requirements will be considered, but they must be documented by the Applicant or Installation Contractor and approved by the Ohio Energy Office. These requirements are not all encompassing and are intended only to address certain minimum safety and efficiency standards.

#### A. Code Requirements

1. The installation must comply with the provisions of the National Electrical Code (NEC) and all other applicable local, state, or federal codes or practices.
2. All required permits must be properly obtained and posted.
3. All required inspections must be performed (i.e., Electrical/NEC, Local Building Code Offices, etc).

#### B. Wind Turbine and Tower

1. All wiring must conform to the NEC. Over-current protection must be provided in accordance with the provisions of the NEC.
2. The wind turbine tower must be well-grounded and bonded in accordance with the provisions of the NEC and any other applicable codes.
3. Appropriate lightning protection and surge suppression must be installed in accordance with the provisions of the NEC and any other applicable codes.

#### C. Inverter and Controls

1. The inverter and controls must be properly installed according to the manufacturer's instructions.
2. The inverter must be certified as compliant with the requirements of IEEE 929 (including anti-islanding) and also compliant with UL 1741.
3. The system should be equipped with the following visual indicators and/or controls:
  - On/off switch
  - Operating mode setting indicator
  - AC/DC over current protection
  - Operating status indicator
4. Warning labels must be posted on the control panels and junction boxes indicating that the circuits are energized by an alternate power source independent of the utility-provided power.
5. Operating instructions must be posted on or near the system.

#### D. Control Panel to Wind Turbine Wire Runs

1. Areas where wiring passes through ceilings, walls, or other areas of the building must be properly restored, booted, and sealed.
2. All interconnecting wires must be copper.
3. Thermal insulation in areas where wiring is installed must be replaced to "as found or better condition." Access doors to these areas must be properly sealed and gasketed.
4. Wiring connections must be properly made, insulated, and weather-protected.
5. All wiring must be attached to the system components by the use of strain reliefs or cable clamps, unless enclosed in conduit.
6. All outside wiring must be rated for wet conditions and/or encased in liquid-tight conduit.
7. Wiring insulation located in areas with potential high ambient temperature must be rated at 90° C or higher.
8. All wiring splices must be contained in UL-approved workboxes.

# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Wind Electric Systems

Customer Name: \_\_\_\_\_ Application Number: \_\_\_\_\_  
(Assigned by the ODO)

### A: Equipment Information

1. Wind Turbine Manufacturer: \_\_\_\_\_ Turbine Model Number: \_\_\_\_\_
2. Average Annual Wind Speed at Hub Height: \_\_\_\_\_ miles per hour, or \_\_\_\_\_ meters per second
3. Wind Turbine Power Output: \_\_\_\_\_ AC kW (from turbine power curve at average annual wind speed for site)
4. Number of Turbines: \_\_\_\_\_
5. Total Annual Wind System Output: \_\_\_\_\_ AC kWh [power output rating (line 3) x no. of turbines (line 4) x 8760hrs]
6. Inverter Manufacturer: \_\_\_\_\_ Inverter Model Number: \_\_\_\_\_
7. Inverter's Continuous AC Rating: \_\_\_\_\_ AC kW Number of Inverters: \_\_\_\_\_
8. Total Inverter Output: \_\_\_\_\_ AC kW (Inverter Continuous AC Rating x Number of Inverters)
9. Inverter's Peak Efficiency: \_\_\_\_\_ (refer to manufacturer's peak efficiency rating) (not applicable if manufacturer included inverter efficiency in performance ratings, e.g., performance rated in AC kW)
10. System Rated Output (for utility interactive systems): \_\_\_\_\_ AC kW (total wind system output (DC kW) x inverter peak efficiency, or total wind system output (AC kW))
11. Wind Tower Manufacturer: \_\_\_\_\_ Height: \_\_\_\_\_ Feet, or \_\_\_\_\_ Meters
12. Wind Tower Type: \_\_\_\_\_ Method of Anchoring: \_\_\_\_\_

### B: Proposed Installation/Interconnection Information

1. Wind Turbine Location: \_\_\_\_\_
2. What percent (%) of the total annual load is the wind system designed to offset? \_\_\_\_\_
3. What is the topography within a ¼-mile radius of the proposed wind system? Check all that apply:  
Terrain:  Flat  Shallow Variations  Rolling Hills  Steep Slopes  Other (specify \_\_\_\_\_)
4. Wind Obstructions:  Over 50-foot Trees  Thirty- to 50-foot Trees  
 One-story Structures  Two-plus-story Structures
5. Wind Turbine Rotor Hub Height: \_\_\_\_\_ Feet, or \_\_\_\_\_ Meters
6. Wind Turbine Rotor Diameter: \_\_\_\_\_ Feet, or \_\_\_\_\_ Meters
7. Inverter Location:  Indoor  Outdoor Location: \_\_\_\_\_
8. System Type and Mode of Operation:  
 utility interactive (parallel/capable of back-feeding the meter)  
 utility interactive with battery backup (capable of back-feeding the meter)
9. A one-page site map must accompany this application. The map must indicate the location of the wind turbine(s), the inverter, batteries (if any), lockable disconnect switch, and point of connection with the utility system.
10. A copy of the Interconnection and Net Metering Agreements must be sent to OEO before the grant will be issued.
11. What, if any, local zoning or siting restrictions may affect the project installation? (zoning approval documentation must be attached) \_\_\_\_\_
12. What, if any, local permits or licensed contractors will be required (attach all supporting documentation if required)? \_\_\_\_\_

# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Wind Electric Systems

Customer Name: \_\_\_\_\_

Application Number: \_\_\_\_\_  
(Assigned by the ODOD)

### C. Incentive Request Calculation

1. Total wind system output (Section A, line 5 above): \_\_\_\_\_ AC kWh x \$2.00/kWh = \$ \_\_\_\_\_

**Note: A minimum of 5,000 KWh Alternating Current (AC) generated annually at the average wind speed for the site is required to be considered for the wind electric grant award. Wind turbines designed to be at a hub height of 80 feet (24 meters) or above are preferred.**

2. Wind turbine cost: \$ \_\_\_\_\_  
Balance of system equipment cost: \$ \_\_\_\_\_  
Installation cost: \$ \_\_\_\_\_  
Interconnection related cost: \$ \_\_\_\_\_

Total Installed System Cost: \$ \_\_\_\_\_ x 0.5 = \$ \_\_\_\_\_

3. Maximum incentive allowed: \$1,000,000

4. Requested Incentive (Enter the SMALLEST number from C1, C2, or C3): \$ \_\_\_\_\_

5. Cost per kWh of the annual wind turbine power output: \$ \_\_\_\_\_  
(Total project cost divided by the annual kWh of the wind turbine power output.)

### D. Warranty Information

1. Wind Turbine: \_\_\_\_\_ Years

3. Inverter: \_\_\_\_\_ Years

2. Tower: \_\_\_\_\_ Years

4. Installation: \_\_\_\_\_ Years

# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Solar Thermal Water Heating – Instructions

Please carefully read all of the following information. **With the help of your Installation Contractor**, fully complete Sections A through D of the attached Technical Worksheet for Solar Thermal Systems.

### Installation Requirements

#### Installation Requirements:

Equipment installation must meet the following minimum requirements in order to qualify for the provisions of the Request for Proposals (RFP). Proposed deviations from the requirements will be considered, but they must be documented by the Applicant or Installation Contractor and approved by OEO. These requirements are not all encompassing and are intended only to address certain minimum safety and efficiency standards.

#### A. Code Requirements

1. The installation must comply with the provisions of the National Electrical Code (NEC) and all other applicable local, state, or federal codes or practices.
2. All required permits must be properly obtained and posted.
3. All required inspections must be performed (i.e., Electrical/NEC, Local Building Code Offices, etc).

#### B. Solar Collectors

1. Collectors must be certified and must be properly installed according to manufacturer's instructions.
2. The maximum amount of sunlight available year-round on a daily basis should not be obstructed. Your installer must use a Solar Pathfinder or its equivalent and submit a Solar Site Analysis Report with this application. Grant awards will be reduced by the percent of shading found on the Solar Site Analysis Report under the column that reads Actual Solar Radiation with Shading.
3. System wiring must be installed in accordance with the provisions of the NEC.
4. System plumbing must be installed in accordance with the provisions of the Ohio Plumbing and Mechanical Codes.

#### C. Controls

1. The system should be equipped with the following visual indicators and/or controls:
  - On/off switch
  - Operating mode setting indicator
  - Operating status indicator
2. Operating instructions must be posted on or near the system.

#### D. Collector to Pumps to Storage Tank Wire and Piping Runs

1. Areas where wiring/pipes pass through ceilings, walls, or other areas of the building must be properly restored and sealed.
2. All interconnecting wires must be copper.
3. All plumbing needs to be insulated.
4. Thermal insulation in areas where wiring or plumbing are installed must be replaced to "as found or better condition." Access doors to these areas must be properly sealed and gasketed.
5. Wiring connections must be properly made, insulated, and weather-protected.
6. All wiring must be attached to the system components by the use of strain reliefs or cable clamps, unless enclosed by conduit.
7. All outside wiring must be rated for wet conditions and/or encased in liquid-tight conduit.
8. Wiring insulation located in areas with potential high ambient temperature must be rated at 90° C or higher.
9. All wiring splices must be contained in UL-approved workboxes.

# State Energy Plan – Solar and Wind Deployment Systems (ARRA)

## Technical Worksheet for Solar Thermal Water Heating System

Customer Name: \_\_\_\_\_ Application Number: \_\_\_\_\_  
(Assigned by the ODOD)

### A. Equipment Information

1. Solar Collector Manufacturer: \_\_\_\_\_ Collector Model Number: \_\_\_\_\_
2. Total Collector OG 100 Rating (most recent Clear C conditions ratings update): \_\_\_\_\_ kBtu/day
3. Number of Collectors \_\_\_\_\_
4. Total Rated Output: \_\_\_\_\_ kBtu/day (Number of Collectors x Collector OG-100 rating)
5. Type of system : drain down \_\_\_\_\_ glycol filled \_\_\_\_\_
6. Storage tank manufacturer \_\_\_\_\_ Model Number \_\_\_\_\_
7. Storage tank type \_\_\_\_\_ Size \_\_\_\_\_ Insulation \_\_\_\_\_
8. Pump manufacturer \_\_\_\_\_ Model Number \_\_\_\_\_
9. Pump type \_\_\_\_\_ PV driven Yes \_\_\_\_\_ No \_\_\_\_\_ if yes provide specifications

### B. Proposed Installation Information

1. Solar Collector Location: \_\_Rooftop \_\_Pole Mount or Ground Mount \_\_Other
2. Solar Collector Orientation: \_\_\_\_\_ degrees (e.g., 180 degrees magnetic south)
3. Solar Collector Tilt: \_\_\_\_\_ degrees (e.g., flat mount = 0 degrees; vertical mount = 90 degrees)
4. What percent (%) of the total annual load is the Solar Thermal system designed to offset? \_\_\_\_\_
5. To determine shading issues, your installer must use a Solar Pathfinder or its equivalent and submit a Solar Site Analysis Report with this application. **Grant awards will be reduced by the percent of shading found on the Solar Site Analysis Report under the column that reads "Actual Solar Radiation with Shading."**  
Describe **ANY** shading here in percentage (%): \_\_\_\_\_.
6. A one-page site map must accompany this application. The map must indicate the location of the Solar Collector and location of storage tank. The installation address and the installer's name and telephone number must also be included on the site map.
7. What, if any, local zoning or siting restrictions may affect the project installation (zoning approval documentation must be attached)? \_\_\_\_\_
8. What, if any, local permits or licensed contractors will be required (attach all supporting documentation if required)? \_\_\_\_\_

### C. Incentive Request Calculation

1. Total solar thermal system output (Section A, line 4 above): \_\_\_\_\_ kBtu/day x \$30/kBtu/day = \$ \_\_\_\_\_  
- % Shading \_\_\_\_\_ = \$ \_\_\_\_\_

**Note: A minimum of 500 kbtu/per day is required to be considered for the solar thermal grant award.**

2. Solar collector cost: \$ \_\_\_\_\_  
Balance of system equipment cost: \$ \_\_\_\_\_  
Installation cost: \$ \_\_\_\_\_  
Total Installed System Cost: \$ \_\_\_\_\_ x 0.5 = \$ \_\_\_\_\_
3. Maximum incentive allowed: \$500,000
4. Requested Incentive (Enter the SMALLEST number from C1, C2, or C3): \$ \_\_\_\_\_
5. Cost per kBtu/per day: \$ \_\_\_\_\_  
(Total project cost divided by the kBtu/per day of solar thermal energy generated by the installed system.)

### D. Warranty Information

1. Collectors: \_\_\_\_\_ years
2. Installation: \_\_\_\_\_ years
3. Storage Tank: \_\_\_\_\_ years
4. Heat exchanger \_\_\_\_\_ years
5. Pumps: \_\_\_\_\_ years

**OHIO ENERGY OFFICE (OEO)**  
**AUDIT POLICY**

The Ohio Energy Office will follow Federal standards set forth in the U.S. Office of Management and Budget issued Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations, June 27, 2003.

State and local governments, institutions of higher education, hospitals and other nonprofit organizations are required to arrange for an audit of their financial operations, including compliance with all Federal laws and regulations every year. Upon receipt of the annual audit performed by an independent auditor, grantees will be required to submit a copy of the audit report to the OEO at the end of the current grant period. These audits reports will be reviewed by the Ohio Department of Development Audit Office and, to the extent possible, will rely on the results of these grantee-arranged audits.

The OEO will employ the following guidelines in determining the audit requirements for non-profit agencies. These are highlights of the Audits Policy (in some instances, the policy set forth by the OEO is more stringent than that set forth in A-133).

- Single audits are generally required when an agency covered by OMB Circular A-133 receives more than \$500,000 in Federal financial assistance. The grantees are required to send the OEO a copy of the annual agency-wide audit report for each of the agency's fiscal years in which the grant is open. The independent auditor shall provide reports on the grantee's financial statements on legal compliance with significant terms of the grant agreement, and on the grantee's internal accounting and administrative controls.
- Agencies not covered by the Single Audit Act and receiving Federal financial assistance under \$500,000, need not obtain an audit, but will continue to be monitored by the OEO and are required to perform an audit if one is requested.
- Federal financial assistance is defined as any assistance provided by a Federal agency to a recipient or sub-recipient to carry out a program. Such assistance may be in the form of: Grants, Contracts, Cooperative Agreements, Loans, Loan Guarantees, Property, Interest Subsidies, Insurance, Direct Appropriations, and Other Non-cash Assistance. Such assistance does not include direct Federal cash assistance to individuals. Such assistance included awards receive directly from Federal agencies, or indirectly when sub-recipients receive funds identified as Federal funds by the recipients. The granting agency is responsible for identifying the source of funds awarded to recipients; the recipient is responsible for identifying the source of funds awarded to sub-recipients.
- Agency-wide audits must be performed annually.
- Audits costs associated with A-133 are allowable costs of the Federal award.
- Auditors are to be selected in accordance with the procurement standards of OMB Circular A-110. These currently require competitive bidding for purchases in excess of \$25,000.
- Auditors must meet GAO audits standards.

**CERTIFICATIONS REGARDING LOBBYING;  
DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;  
AND DRUG FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 10 CFR Part 601 "New Restrictions on Lobbying," 10 CFR Part 606 "Governmentwide Debarment and Suspension (Nonprocurement) and 10 CFR Part 607 "Governmentwide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

### **1. LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery; falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### **3. DRUG-FREE WORKPLACE**

This certification is required by the Drug-Free Workplace Act of 1988 (Pub.L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

#### **ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)**

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
  - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of

a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

- (b) Establishing an ongoing drug-free awareness program to inform employees about:
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (a),(b),(c),(d),(e), and (f).

(2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance: (Street address, city, county, state, zip code)

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Check if there are workplaces on file that are not identified here.

**ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)**

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

**5. SIGNATURE**

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Name of Applicant: \_\_\_\_\_  
Printed Name and Title of  
Authorized Representative: \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE



Assurance of Compliance

Nondiscrimination in Federally Assisted Programs

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 15 minutes 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, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1900-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1900-0400), Washington, DC 20503.

(Hereinafter called the "Applicant")

HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L.88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub.L.93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub.L.93-438), Title IX of the Education Amendments of 1972, as amended (Pub.L.92-318, Pub.L.93-568, and Pub.L.94-482), Section 504 of the Rehabilitation Act of 1973 (Pub.L.93-112), the Age Discrimination Act of 1975 (Pub.L.94-135), Title VIII of the Civil Rights Act of 1968 (Pub.L.90-284), the Department of Energy Organization Act of 1977 (Pub.L.95-91), and the Energy Conservation and Production Act of 1976, as amended (Pub.L.94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

**Applicability and Period of Obligation**

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

**Employment Practices**

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

**Subrecipient Assurance**

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws cited above. To this end, the subrecipient shall be required to sign a written assurance form, however, the obligation or both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

**Data Collection and Access to Records**

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to, the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability, in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to its obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy, Facilities of the Applicant (including the physical plants, building, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereto, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representation and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signature appears below and who are authorized to sign this assurance on behalf of the Applicant.

### Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

\_\_\_\_\_  
Name and Title (Printed to Typed) ( ) -  
Telephone Number

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Applicant's Name ( ) -  
Telephone Number

\_\_\_\_\_  
Address: Date

\_\_\_\_\_

Authorized Official:  
President, Chief Executive Officer  
or Authorized Designee

\_\_\_\_\_  
Name and Title (Printed to Typed) ( ) -  
Telephone Number

\_\_\_\_\_  
Signature Date

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant: (Insert Name of Proposer): \_\_\_\_\_

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of O.P.M.'s Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 33601 et seq.), as amended, relating to non discrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance Policies Act of 1970 (P.L. 91-646, which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State Management Program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers systems.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984, or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Printed Name and Title of Authorized Representative: \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE



GOVERNMENT BUSINESS AND FUNDING CONTRACTS
In accordance with section 2909.33 of the Ohio Revised Code

DECLARATION REGARDING MATERIAL ASSISTANCE/NONASSISTANCE TO A TERRORIST ORGANIZATION

This form serves as a declaration by an applicant for a government contract or funding of material assistance/nonassistance to an organization on the U.S. Department of State Terrorist Exclusion List ("TEL"). Please see the Ohio Homeland Security Division Web site for a copy of the TEL.

Any answer of "yes" to any question, or the failure to answer "no" to any question on this declaration shall serve as a disclosure that material assistance to an organization identified on the U.S. Department of State Terrorist Exclusion List has been provided. Failure to disclose the provision of material assistance to such an organization or knowingly making false statements regarding material assistance to such an organization is a felony of the fifth degree.

For the purposes of this declaration, "material support or resources" means currency, payment instruments, other financial securities, funds, transfer of funds, and financial services that are in excess of one hundred dollars, as well as communications, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

COMPLETE THIS SECTION ONLY IF YOU ARE AN INDEPENDENT CONTRACTOR

Form for independent contractor with fields: LAST NAME, FIRST NAME, MI, HOME ADDRESS, CITY, STATE, ZIP, COUNTY, HOME PHONE, WORK PHONE.

COMPLETE THIS SECTION ONLY IF YOU ARE A COMPANY, BUSINESS OR ORGANIZATION

Form for company/business/organization with fields: BUSINESS/ORGANIZATION NAME, PHONE, BUSINESS ADDRESS, CITY, STATE, ZIP, COUNTY, BUSINESS/ORGANIZATION REPRESENTATIVE NAME, TITLE.

DECLARATION

In accordance with section 2909.32 (A)(2)(b) of the Ohio Revised Code

For each question, indicate either "yes," or "no" in the space provided. Responses must be truthful to the best of your knowledge.

- 1. Are you a member of an organization on the U.S. Department of State Terrorist Exclusion List?
2. Have you used any position of prominence you have with any country to persuade others to support an organization on the U.S. Department of State Terrorist Exclusion List?
3. Have you knowingly solicited funds or other things of value for an organization on the U.S. Department of State Terrorist Exclusion List?
4. Have you solicited any individual for membership in an organization on the U.S. Department of State Terrorist Exclusion List?
5. Have you committed an act that you know, or reasonably should have known, affords "material support or resources" to an organization on the U.S. Department of State Terrorist Exclusion List?
6. Have you hired or compensated a person you knew to be a member of an organization on the U.S. Department of State Terrorist Exclusion List, or a person you knew to be engaged in planning, assisting, or carrying out an act of terrorism?

If an applicant is prohibited from receiving a government contract or funding due to a positive indication on this form, the applicant may request the Ohio Department of Public Safety to review the prohibition. Please see the Ohio Homeland Security Web site for information on how to file a request for review.

**CERTIFICATION**

I hereby certify that the answers I have made to all of the questions on this declaration are true to the best of my knowledge. I understand that if this declaration is not completed in its entirety, it will not be processed and I will be automatically disqualified. I understand that I am responsible for the correctness of this declaration. I understand that failure to disclose the provision of material assistance to an organization identified on the U.S. Department of State Terrorist Exclusion List, or knowingly making false statements regarding material assistance to such an organization is a felony of the fifth degree. I understand that any answer of "yes" to any question, or the failure to answer "no" to any question on this declaration shall serve as a disclosure that material assistance to an organization identified on the U.S. Department of State Terrorist Exclusion List has been provided by myself or my organization. If I am signing this on behalf of a company, business or organization, I hereby acknowledge that I have the authority to make this certification on behalf of the company, business or organization referenced on page 1 of this declaration.

APPLICANT SIGNATURE <b>X</b>	DATE
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