

Jennifer Brooks Hutchinson
Senior Counsel
PPL Services Corporation
JHutchinson@pplweb.com

280 Melrose Street
Providence, RI 02907
Phone 401-316-7429



January 30, 2026

VIA ELECTRONIC MAIL AND HAND DELIVERY

Stephanie De La Rosa, Commission Clerk
Rhode Island Public Utilities Commission
89 Jefferson Boulevard
Warwick, RI 02888

**RE: Docket No. 25-54-EL – The Narragansett Electric Company d/b/a Rhode Island Energy
Proposed FY 2027 Electric Infrastructure, Safety, and Reliability Plan
Responses to Division Data Requests – Set 4 (Complete Set)**

Dear Ms. De La Rosa:

On behalf of The Narragansett Electric Company d/b/a Rhode Island Energy (the “Company”), I am enclosing the Company’s complete batch of responses to the Division of Public Utilities and Carriers’ Fourth Set of Data Requests (“Division Set 4”) in the above-referenced docket.

This transmittal contains the Company’s remaining responses to data requests Division 4-1, 4-4, 4-14, and 4-17 and completes the Company’s responses to Division Set 4 in this matter.

Please be advised that certain attachments in the Company’s response to data request Division 4-1 contain confidential information. Specifically, the Company is seeking confidential treatment of page 1 of Attachment DIV 4-1-6 and Attachment DIV 4-1-7 in its entirety. Pursuant to 810-RICR-00-00-1.3(H)(3) and R.I. Gen. Laws § 38-2-2(4)(B) and 2(4)(F), the Company respectfully requests that the Commission treat Attachments DIV 4-1-6 and DIV 4-1-7 as confidential. The Company has enclosed redacted versions of these attachments to data request Division 4-1 for posting to the PUC’s website.

In support of this request, the Company has enclosed a Motion for Protective Treatment of Confidential Information. In accordance with 810-RICR-00-00-1.3(H)(2), the Company also respectfully requests that the PUC make a preliminary finding that the confidential information is exempt from the mandatory public disclosure requirements of the Rhode Island Access to Public Records Act (“APRA”).

Stephanie De La Rosa, Commission Clerk
Docket No. 25-54-EL – Responses to Division Set 4 (Complete Set)
January 30, 2026
Page 2 of 2

Thank you for your attention to this transmittal. If you have any questions or concerns, please do not hesitate to contact me at 401-316-7429.

Sincerely,



Jennifer Brooks Hutchinson

Enclosures

cc: Docket No. 25-54-EL Service List

**STATE OF RHODE ISLAND
PUBLIC UTILITIES COMMISSION**

THE NARRAGANSETT ELECTRIC COMPANY)		
d/b/a RHODE ISLAND ENERGY’S FY 2027 ELECTRIC)		DOCKET NO. 25-54-EL
INFRASTRUCTURE, SAFETY AND)		
RELIABILITY PLAN)		

**MOTION OF THE NARRAGANSETT ELECTRIC COMPANY D/B/A
RHODE ISLAND ENERGY FOR PROTECTIVE TREATMENT OF
CONFIDENTIAL INFORMATION**

The Narragansett Electric Company d/b/a Rhode Island Energy (the “Company”) hereby respectfully requests that the Public Utilities Commission (“PUC” or “Commission”) grant protection from public disclosure certain confidential, financially sensitive, and proprietary information submitted in its responses to the Division of Public Utilities and Carriers (“Division”) Fourth Set of Data Requests, as permitted by Rule 1.3(H)(3) of the PUC Rules of Practice and Procedure, 810-RICR-00-00-1-1.3(H)(3) (“Rule 1.3(H)”) and R.I. Gen. Laws § 38-2-2(4)(B).

Specifically, the Company requests confidential treatment for certain confidential and competitively sensitive information contained in the Company’s response to Division of Public Utilities and Carriers (“Division”) Data Request 4-1 (the “Confidential Information”). The reasons for the requested protective treatment are set forth herein. The Company also requests that, pending entry of that finding, the PUC preliminarily grant the Company’s request for confidential treatment pursuant to Rule 1.3(H)(2).

I. Background

On January 30, 2026, the Company filed its remaining responses to the Division’s Fourth Set of Data Requests in this proceeding, which include Division Data Request 4-1.¹ This Motion

¹ The Company filed its first and second batches of responses to Division Set 4 on January 26, 2026 and January 28, 2026, respectively.

seeks confidential treatment and protection from public disclosure of certain Confidential Information contained in Attachment DIV 4-1-6 and Attachment DIV 4-1-7 (the “Confidential Attachments”), because the Confidential Attachments contain commercial, financial and sensitive information relating to the Company’s ongoing discussions with the U.S. Department of Energy (“DOE”) regarding the Infrastructure Investment and Jobs Act (“IIJA”) award agreement that was accepted by the Company and is the subject of Division Data Request 4-1.

II. Legal Standard

Rule 1.3(H) provides that access to public records shall be granted in accordance with the Access to Public Records Act (“APRA”), R.I. Gen. Laws § 38-2-1, *et seq.* The APRA establishes the balance between “public access to public records” and protection “from disclosure [of] information about particular individuals maintained in the files of public bodies when disclosure would constitute an unwarranted invasion of personal privacy.” R.I. Gen. Laws § 38-2-1. Under the APRA, any record received or maintained by a state or local governmental agency in connection with the transaction of official business is considered public unless such record falls into one of the exemptions specifically identified by the APRA. See R.I. Gen. Laws §§ 38-2-3(a) and 38-2-2(4). Therefore, if a record provided to the PUC falls within one of the designated exemptions, the PUC is authorized to deem such record confidential and withhold it from public disclosure. The definition of “public record” under the APRA specifically excludes the following:

“[t]rade secrets and commercial or financial information obtained from a person, firm, or corporation that is of a privileged or confidential nature.” [§ 38-2-2(4)(B)]

The statute provides that such records “shall not be deemed public.” *Id.* The Rhode Island Supreme Court has held that when documents fall within a specific exemption, they “are not considered to be public records,” and “the act does not apply to them.” *Providence Journal Co. v. Kane*, 577 A.2d 661, 663 (R.I. 1990). Further, the court has held that “financial or commercial

information” under the APRA includes information “whose disclosure would be likely to either (1) impair the Government’s ability to obtain necessary information in the future, or (2) cause substantial harm to the competitive position of the person from whom the information was obtained.” *Providence Journal Co. v. Convention Ctr. Auth.*, 774 A.2d 40, 47 (R.I. 2001) (internal quotation marks omitted). The first prong of the test is satisfied when information is provided voluntarily to the governmental agency and that information is of a kind that would not customarily be released to the public by the person from whom it was obtained. *Id.* at 47.

III. Basis For Confidentiality

By this Motion, the Company seeks protective treatment for the Confidential Attachments. The Confidential Attachments contain commercial, financial and sensitive information relating to the Company’s ongoing discussions with the DOE regarding the IJJA award that is exempt from public disclosure pursuant to R.I. Gen. Laws § 38-2-2(4)(B) as “[t]rade secrets and commercial or financial information obtained from a person, firm, or corporation that is of a privileged or confidential nature.”

Division Data Request 4-1 requests a copy of the IJJA award agreement accepted by the Company. In response to this request, the Company is providing a copy of the award agreement and the associated attachments. The attachments consist of the terms and conditions, financial information, and other components of the original IJJA award. Following the Company’s acceptance of the award, DOE put the award on hold pending review by the new presidential administration. The Company is in continued discussions with DOE regarding the award status and potential modifications due to the change in investment levels and other DOE required modifications.² Thus, the award agreement is subject to change.

² See Company Responses to Division Data Requests 4-16, 4-13, and 4-14 regarding changes in the capital spending plan and potential award modifications.

Attachment DIV 4-1-6

The Company is seeking confidential treatment of portions of Attachment DIV 4-1-6 as it relates to the breakdown of specific cost components comprising the Company's cost-share obligation. Although the Company has not identified the total cost-share obligation as confidential, the breakdown of the specific amounts for the individual cost categories comprising the cost-share obligation are subject to an active potential modification to the budget, which is still under review and is under discussion with DOE. Public disclosure of this more detailed financial information could put the Company at a competitive disadvantage because it would potentially disclose specific allocations of federal grant money that has not yet been finalized with DOE. For these reasons, this information satisfies the exception found in R.I. Gen. Laws § 38-2-2(4)(B).

Attachment DIV 4-1-7

The Company also is seeking confidential treatment of the Community Benefits Plan included as Attachment DIV 4-1-7 in its entirety because the Company has been verbally informed by the DOE that the Community Benefits Plan is no longer included as part of the award agreement and a formal amendment is forthcoming. Public disclosure of Attachment DIV 4-1-7 in the context of the Company's contractual agreement with DOE could cause reputational harm to the Company to the extent it contains commitments the Company made as part of its original grant application that will no longer be implemented due to the required modification. In addition, public disclosure of this information is not in the public interest because the information contained in Attachment DIV 4-1-7 is no longer applicable to the IIIJA award and could have the unintended effect of misleading the public as to certain aspects of the award. For these reasons, the information contained in Attachment DIV 4-1-7 satisfies the exception found in R.I. Gen. Laws § 38-2-2(4)(B).

IV. Conclusion

For the foregoing reasons, the Company respectfully requests that the PUC grant this motion for protective treatment of the Confidential Attachments.

Respectfully submitted,

**The Narragansett Electric Company
d/b/a Rhode Island Energy**

By its attorney,

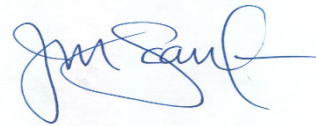


Jennifer Brooks Hutchinson (#6176)
Rhode Island Energy
280 Melrose Street
Providence, RI 02907
(401) 316-7429

Dated: January 30, 2026

CERTIFICATE OF SERVICE

I hereby certify that on January 30, 2026, I delivered a true copy of the foregoing Motion via electronic mail to the parties on the Service List for Docket No. 25-54-EL.



Joanne M. Scanlon

Division 4-1
IIJA

Request:

Provide a copy of the IIJA award agreement accepted by the Company.

Response:

Please see Attachments DIV 4-1-1 through DIV 4-1-7, which contain a copy of the award documents. Please note that the award and any potential modifications are still under review with DOE, and this award agreement is subject to change.

ASSISTANCE AGREEMENT

1. Award No. DE-GD0000910		2. Modification No.	3. Effective Date 10/01/2024	4. CFDA No. 81.254
5. Awardee To The Narragansett Electric Company Attn: Lee Smith 300 ERIE BOULEVARD WEST SYRACUSE NY 132024250		6. Sponsoring Office Grid Deployment Office (GD) U.S. Department of Energy 1000 Independence Avenue, SW Forrestal Building , GD-1 Washington DC 20585		7. Period of Performance 10/01/2024 through 09/30/2029
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority See Page 2		10. Purchase Request or Funding Document No. 24GD000252	
11. Remittance Address The Narragansett Electric Company Attn: Lee Smith PO BOX 371361 PITTSBURGH PA 152507361		12. Total Amount Govt. Share: \$50,000,000.00 Cost Share : \$233,302,326.00 Total : \$283,302,326.00		13. Funds Obligated This action: \$50,000,000.00 Total : \$50,000,000.00
14. Principal Investigator		15. Program Manager Matthew T. Messenger		16. Administrator U.S. DOE/NETL NATIONAL ENERGY TECH LAB 3610 Collins Ferry Road Morgantown WV 26505-2353
17. Submit Payment Requests To VIPERS https://vipers.doe.gov Any questions, please contact by call/email 855-384-7377 or VipersSupport@hq.doe.gov		18. Paying Office VIPERS https://vipers.doe.gov Any questions, please contact by call/email 855-384-7377 or VipersSupport@hq.doe.gov		19. Submit Reports To See Attachment 3
20. Accounting and Appropriation Data See Schedule				
21. Research Title and/or Description of Project Bipartisan Infrastructure Law (BIL): Smart Grid for Smart Decarbonization: Deploying advanced Information Technology and Operational Technology to mee				
For the Recipient			For the United States of America	
22. Signature of Person Authorized to Sign			25. Signature of Grants/Agreements Officer Signature on File	
23. Name and Title		24. Date Signed	26. Name of Officer David J. Staudt	
			27. Date Signed 09/20/2024	

(A)	(B)	(C)	(D)	UNIT PRICE (E)	(F)
	<p>UEI: SGGXNGJ613C3</p> <p>Block 9 Authority:</p> <ul style="list-style-type: none"> • Infrastructure Investment and Jobs Act (IIJA), also known as the Bipartisan Infrastructure Law (BIL) • Section 40107 - 42 USC §17386 • Public Law (PL) 95-91, DOE Organization Act • PL 109-58, Energy Policy Act 2005 • PL 110-140 Energy Independence and Security Act of 2007 <p>Project Period: 10/01/2024 thru 09/30/2029 Budget Period: 10/01/2024 thru 09/30/2029</p> <p>Block 14. Principal Investigator: Kathy Castro 508-594-0417 KRCastro@RIEnergy.com</p> <p>Recipient Business Point of Contact: Brian Grzesiuk 774-563-8451 BGrzesiuk@RIEnergy.com</p> <p>Block 15. DOE Program Manager: Matthew Messenger 304-285-5223 matthew.messenger@netl.doe.gov</p> <p>DOE Award Administrator: Dorothy Pitre 412-386-9398 dorothy.pitre@netl.doe.gov</p> <p>ASAP: NO: STD IMMEDIATE Extent Competed: COMPETED Davis-Bacon Act: YES PI: Kathy Castro</p>				

JULY 2004

SPECIAL TERMS AND CONDITIONS FOR USE IN MOST GRANTS AND COOPERATIVE AGREEMENTS 3

LEGAL AUTHORITY AND EFFECT (JUNE 2015)..... 3

RESOLUTION OF CONFLICTING CONDITIONS 3

AWARD AGREEMENT TERMS AND CONDITIONS – BIPARTISAN INFRASTRUCTURE LAW (DECEMBER 2014) (NETL – APRIL 2024) 3

CONFERENCE SPENDING (FEBRUARY 2015)..... 3

PAYMENT PROCEDURES - REIMBURSEMENT THROUGH THE AUTOMATED CLEARING HOUSE (ACH) VENDOR INQUIRY PAYMENT ELECTRONIC REPORTING SYSTEM (VIPERS) 4

COST SHARING..... 4

REBUDGETING AND RECOVERY OF INDIRECT COSTS – REIMBURSABLE FRINGE BENEFITS AND NO INDIRECT COSTS 5

USE OF PROGRAM INCOME - DEDUCTION 5

STATEMENT OF FEDERAL STEWARDSHIP 5

SITE VISITS 6

REPORTING REQUIREMENTS (APRIL 2023) 6

PUBLICATIONS 7

FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS..... 7

INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION..... 7

NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS..... 7

INSURANCE COVERAGE (DECEMBER 2014)..... 7

REAL PROPERTY (DECEMBER 2014) 8

EQUIPMENT (DECEMBER 2014) (NETL – MAY 2024) 8

SUPPLIES (DECEMBER 2014) 9

INTANGIBLE PROPERTY (DECEMBER 2014)..... 10

PROPERTY TRUST RELATIONSHIP (DECEMBER 2014)..... 10

INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP 10

PERFORMANCE OF WORK IN UNITED STATES 11

CATEGORICAL EXCLUSION (CX)..... 11

SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS 11

FINAL INCURRED COST AUDIT (DECEMBER 2014) 12

LOBBYING RESTRICTIONS (MARCH 2012)..... 12

CORPORATE FELONY CONVICTION AND FEDERAL TAX LIABILITY ASSURANCES (MARCH 2014)..... 12

NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS ASSURANCES (JUNE 2015) 13

REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE
(DECEMBER 2015) 13

SUBAWARD/SUBCONTRACT CHANGE NOTIFICATION..... 15

GO/NO-GO DECISION - NETL 16

IMPLEMENTATION OF EXECUTIVE ORDER 13798, PROMOTING FREE SPEECH AND RELIGIOUS
LIBERTY (NOVEMBER 2020)..... 17

CONTINUED USE OF REAL PROPERTY AND EQUIPMENT (OCTOBER 2022)..... 17

FOREIGN NATIONAL PARTICIPATION – APPROVAL REQUIRED (APRIL 2024) 17

POST AWARD DUE DILIGENCE REVIEWS (APRIL 2024) 18

EXPORT CONTROL (JUNE 2024)..... 18

INTERIM CONFLICT OF INTEREST POLICY FOR FINANCIAL ASSISTANCE (MARCH 2023) 18

ORGANIZATIONAL CONFLICT OF INTEREST (APRIL 2024) 19

PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES
OR EQUIPMENT (APRIL 2024)..... 19

PROHIBITION RELATED TO FOREIGN GOVERNMENT-SPONSORED TALENT RECRUITMENT
PROGRAMS (MARCH 2023)..... 20

PARTICIPANTS AND OTHER COLLABORATING ORGANIZATIONS (APRIL 2024)..... 21

HUMAN SUBJECTS RESEARCH (MARCH 2023) 21

FRAUD, WASTE AND ABUSE (MARCH 2023) 22

TRANSPARENCY OF FOREIGN CONNECTIONS (APRIL 2024) 23

FOREIGN COLLABORATION CONSIDERATIONS (MARCH 2023)..... 24

ACCESS RESTRICTIONS 24

REPORTING SUBAWARD AND EXECUTIVE COMPENSATION (SEPTEMBER 2023) 25

POTENTIALLY DUPLICATIVE FUNDING NOTICE (MARCH 2023) 27

IMPACTED INDIAN TRIBES (MAY 2024) 28

REPORTING, TRACKING AND SEGREGATION OF INCURRED COSTS (MARCH 2023)..... 28

COMMUNITY BENEFITS OUTCOMES AND OBJECTIVES (APRIL 2024)..... 28

CYBERSECURITY PLAN (APRIL 2024) (NETL – JUNE 2024)..... 28

DAVIS-BACON ACT REQUIREMENTS (NETL - JUNE 2024) 29

AFFIRMATIVE ACTION AND PAY TRANSPARENCY REQUIREMENTS (SEPTEMBER 2023)..... 31

CONSTRUCTION SIGNAGE (MAY 2024) 31

SPECIAL TERMS AND CONDITIONS FOR USE IN MOST GRANTS AND COOPERATIVE AGREEMENTS

LEGAL AUTHORITY AND EFFECT (JUNE 2015)

(a) A DOE financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE Contracting Officer.

(b) Recipients are free to accept or reject the award. A request to draw down DOE funds constitutes the Recipient's acceptance of the terms and conditions of this Award.

RESOLUTION OF CONFLICTING CONDITIONS

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

AWARD AGREEMENT TERMS AND CONDITIONS – BIPARTISAN INFRASTRUCTURE LAW (DECEMBER 2014) (NETL – APRIL 2024)

This agreement consists of the Assistance Agreement Cover Page and Award Terms and Conditions of this Assistance Agreement, plus the following:

Attachment 0	Special Terms and Conditions
Attachment 1	Intellectual Property Provisions
Attachment 2	Statement of Project Objectives
Attachment 3	Federal Assistance Reporting Checklist and Instructions
Attachment 4	Budget Information
Attachment 5	Community Benefits Outcomes and Objectives

The following are incorporated into this Award by reference:

- DOE Assistance Regulations, 2 CFR part 200 as supplemented by 2 CFR part 910 at <https://www.eCFR.gov>.
- National Policy Requirements (November 12, 2020) at <https://www.nsf.gov/awards/managing/rtc.jsp>.
- As applicable, Public Law 117-58, also known as the Bipartisan Infrastructure Law (BIL).
- **The Recipient's application/proposal as approved by DOE.**

CONFERENCE SPENDING (FEBRUARY 2015)

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

PAYMENT PROCEDURES - REIMBURSEMENT THROUGH THE AUTOMATED CLEARING HOUSE (ACH) VENDOR INQUIRY PAYMENT ELECTRONIC REPORTING SYSTEM (VIPERS)

a. Method of Payment. Payment will be made by reimbursement through ACH.

b. Requesting Reimbursement. Requests for reimbursements must be made electronically through Department of Energy's Oak Ridge Financial Service Center (ORFSC) VIPERS. To access and use VIPERS, you must enroll at <https://vipers.doe.gov>. Detailed instructions on how to enroll are provided on the web site.

For non-construction awards, you must submit a Standard Form (SF) 270, "Request for Advance or Reimbursement" at <https://vipers.doe.gov> and attach a file containing appropriate supporting documentation. The file attachment must show the total federal share claimed on the SF 270, the non-federal share claimed for the billing period if cost sharing is required, and cumulative expenditures to date (both Federal and non-Federal) for each of the following categories: salaries/wages and fringe benefits; equipment; travel; participant/training support costs, if any; other direct costs, including subawards/contracts; and indirect costs. For construction awards, you must submit a SF 271, "Outlay Report and Request for Reimbursement for Construction Programs," through VIPERS.

c. Timing of submittals. Submittal of the SF 270 or SF 271 should coincide with your normal billing pattern, but not more frequently than every two weeks. Requests for reimbursement must be limited to the amount of disbursements made during the billing period for the federal share of direct project costs and the proportionate share of any allowable indirect costs incurred during that billing period. **At a minimum, Recipient's should meet the required cost share percentage (specified in the Cost Sharing Term) by each go/no go decision point specified in the Project Management Plan.**

d. Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE/NNSA.

e. Payments. The DOE approving official will approve the invoice as soon as practicable but not later than 30 days after your request is received, unless the billing is improper. Upon receipt of an invoice payment authorization from the DOE approving official, the ORFSC will disburse payment to you. You may check the status of your payments at the VIPER web site. All payments are made by electronic funds transfer to the bank account identified on the ACH Vendor/Miscellaneous Payment Enrollment Form (SF 3881) that you filed.

COST SHARING

a. Total Estimated Project Cost is the sum of the Government share and Recipient share of the estimated project costs. The Recipient's cost share must come from non-Federal sources unless otherwise allowed by law. **By accepting federal funds under this award, you agree that you are liable for your percentage share of total allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion.** This cost is shared as follows:

Budget Period No.	Government Share		Recipient Share		Total
	\$	%	\$	%	
1	\$50,000,000	18%	\$233,302,326	82%	\$283,302,326
Total Project	\$50,000,000	18%	\$233,302,326	82%	\$283,302,326

b. If you discover that you may be unable to provide cost sharing of at least the amount identified in paragraph a of this term, you should immediately provide written notification to the DOE Award Administrator indicating whether you will continue or phase out the project. If you plan to continue the project, the notification must describe how replacement cost sharing will be secured.

c. You must maintain records of all project costs that you claim as cost sharing, including in-kind costs, as well as records of costs to be paid by DOE/NNSA. Such records are subject to audit.

d. Failure to provide the cost sharing required by this term may result in the subsequent recovery by DOE/NNSA of some or all the funds provided under the award.

REBUDGETING AND RECOVERY OF INDIRECT COSTS – REIMBURSABLE FRINGE BENEFITS AND NO INDIRECT COSTS

- a. If actual allowable fringe benefits are less than those budgeted and funded under the award, you may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, you must refund the difference.
- b. Recipients are expected to manage their fringe benefits. DOE will not amend an award solely to provide additional funds for changes in fringe benefit rates. DOE recognizes that the inability to obtain full reimbursement for fringe benefits means the recipient must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.
- c. The budget for this award includes fringe benefits but does not include indirect costs. Therefore, indirect costs shall not be charged to, nor shall reimbursement be requested for this project nor shall the indirect costs for this project be allocated to any other federally sponsored project. In addition, indirect costs shall not be counted as cost share unless approved by the Contracting Officer.

USE OF PROGRAM INCOME - DEDUCTION

If you earn program income during the project period as a result of this award, you must deduct the program income from the total allowable project costs to determine the net allowable costs on which the Federal share is based.

STATEMENT OF FEDERAL STEWARDSHIP

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

SITE VISITS

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

REPORTING REQUIREMENTS (APRIL 2023)

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

b. Dissemination of scientific/technical reporting products. Reporting project results in scientific and technical information (STI) publications/products to the DOE Office of Scientific and Technical Information (OSTI) ensures dissemination of research results to the public as well as preservation of the results. The DOE form F 4600.2, B. Scientific/Technical Reporting, has instructions for the DOE Energy Link (E-Link) system managed by OSTI. Scientific/technical reports and other STI products submitted under this award will be disseminated publicly on the Web via OSTI.GOV (<https://www.osti.gov>), unless the STI contains patentable material, protected data, or SBIR/STTR data, which must be indicated per instructions in DOE 4600.2.

c. Restrictions. STI products submitted to the DOE via E-link must not contain any Protected Personally Identifiable Information (PII), limited rights data, classified information, information subject to export control classification, or other information not subject to public release. The Contracting Officer or Technical Project Officer should be contacted with any questions. Limited rights data means data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial and confidential or privileged. SBIR/STTR Protected Data, and other data subject to statutory data protection authorized by the award may be submitted, provided such data is properly marked and identified during submission. Submissions must not contain any "Proprietary", "Confidential" or "Business Sensitive" markings or similar restrictive markings not authorized by the applicable government agreement.; it is acknowledged that DOE has the right to cancel or ignore such markings.

PUBLICATIONS

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

Acknowledgment: "This material is based upon work supported by the Department of Energy, Grid Deployment Office, under Award Number DE-GD0000910."

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

FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

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

INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

- a. The intellectual property provisions applicable to this award are provided as an attachment to this award or are referenced on the Assistance Agreement Face Page. A list of all intellectual property provisions may be found at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>
- b. Questions regarding intellectual property matters should be referred to the DOE Award Administrator and the Patent Counsel designated as the service provider for the DOE office that issued the award. The IP Service Providers List is found at <http://energy.gov/gc/downloads/intellectual-property-ip-service-providers-acquisition-and-assistance-transactions>

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

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

INSURANCE COVERAGE (DECEMBER 2014)

See 2 CFR 200.310 for insurance requirements for real property and equipment acquired or improved with Federal funds.

REAL PROPERTY (DECEMBER 2014)

Subject to the conditions set forth in 2 CFR Part 200.311, title to real property acquired or improved under a Federal award will vest upon acquisition in the non-Federal entity.

The non-Federal entity cannot encumber this property and must follow the requirements of 2 CFR Part 200.311 before disposing of the property.

Except as otherwise provided by Federal statutes or by the Federal awarding agency, real property will be used for the originally authorized purpose as long as needed for that purpose. When real property is no longer needed for the originally authorized purpose, the non-Federal entity must obtain disposition instructions from the Federal awarding agency or pass-through entity. The instructions must provide for one of the following alternatives: (a) retain title after compensating the Federal awarding agency as described in 2 CFR Part 200.311(c)(1); (b) Sell the property and compensate the federal awarding agency as specified in CFR Part 200.311(c)(2); or (c) transfer title to the Federal awarding agency or to a third Party designated/approved by the Federal awarding agency as specified in CFR Part 200.311(c)(3).

See 2 CFR Part 200.311 for additional requirements pertaining to real property acquired or improved under a Federal award.

Also see 2 CFR Part 910.360 for amended requirements for Real Property for For-Profit recipients.

EQUIPMENT (DECEMBER 2014) (NETL – MAY 2024)

Subject to the conditions provided in 2 CFR 200.313 and 2 CFR 910.360 (as applicable), title to equipment (property) acquired under a Federal award will vest conditionally with the non-Federal entity.

The non-Federal entity cannot encumber this property or permit encumbrance without prior written approval by the DOE Contracting Officer and must follow the requirements of 2 CFR 200.313 before disposing of the property.

States must use equipment acquired under a Federal award by the state in accordance with state laws and procedures.

Equipment must be used by the non-Federal entity in the program or project for which it was acquired as long as it is needed, whether or not the project or program continues to be supported by the Federal award. When no longer needed for the originally authorized purpose, the equipment may be used by programs supported by the Federal awarding agency in the priority order specified in 2 CFR 200.313(c)(1)(i) and (ii).

Management requirements, including inventory and control systems, for equipment are provided in 2 CFR 200.313(d).

When equipment acquired under a Federal award is no longer needed, the non-Federal entity must obtain disposition instructions from the Federal awarding agency or pass-through entity. However, pursuant to the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, Section 309, the Secretary,

or a designee of the Secretary may, at their discretion, vest unconditional title or other property interests acquired under this project regardless of the fair market value of the property at the end of the award period.

Subject to the vesting of any property pursuant to Section 309 of the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, disposition will be made as follows: (a) items of equipment with a current fair market value of \$5,000 or less may be retained, sold, or otherwise disposed of with no further obligation to the Federal awarding agency; (b) non-Federal entity may retain title or sell the equipment after compensating the Federal awarding agency as described in 2 CFR 200.313(e)(2); or (c) transfer title to the Federal awarding agency or to an eligible third Party as specified in 2 CFR 200.313(e)(3).

See 2 CFR 200.313 for additional requirements pertaining to equipment acquired under a Federal award. Also see 2 CFR 200.439 Equipment and other capital expenditures.

See 2 CFR 910.360 for supplemental requirements for Equipment for for-profit Recipients.

SFY23 SECTION 309 AUTHORITY – UNCONDITIONAL TITLE VESTING

Pursuant to the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, Section 309 (“Section 309 authority”), the Secretary of Energy, or the Secretary’s designee may, at their discretion, vest unconditional title or other property interests acquired under this project in the award recipient, subrecipient, or successor in interest, regardless of the fair market value of the property, at the conclusion of the award period. Under this award, if requested by the Recipient, DOE will not unreasonably withhold exercising Section 309 authority to vest unconditional title or other property interests acquired under this project in equipment and real property in the Recipient at the conclusion of the award period, provided that the Recipient satisfies the following conditions. Recipient agrees to:

1. comply with award terms and conditions, including all applicable DOE program requirements, including any amendments.
2. use the equipment or real property during the award period for its originally authorized project purpose.
3. complete all tasks, objectives, and milestones included in Attachment 2, Statement of Project Objectives.
4. certify that it will not sell or transfer the equipment or real property to a Foreign Country of Risk or State Sponsor of Terrorism, or to an entity owned, controlled by, incorporated in, or located in those countries, after the conclusion of the award period; and
5. ensure installed grid assets were installed appropriately, contributing to safe and reliable delivery of electric service as appropriate and are maintained appropriately to ensure their anticipated service lives.

Recipient is required to advise DOE on its progress on the above conditions at various points throughout the life of the award, including but not limited to, continuations, go/no-go decision points, and budget periods. DOE will require a final presentation and/or written narrative by Recipient immediately prior to the conclusion of the

award period for the recipient to demonstrate to DOE's satisfaction that it has satisfied the above conditions, prior to DOE effecting any final transfer of title under Section 309. After any disposition of DOE's reversionary interest, a continuing agreement between Recipient and DOE may nonetheless remain in place to fulfill other award requirements or to properly effectuate the exercise of Section 309 authority (if not otherwise incorporated into the award), regardless of the success of the project or ongoing performance under this award.

SUPPLIES (DECEMBER 2014)

See 2 CFR Part 200.314 for requirements pertaining to supplies acquired under a Federal award.

See also § 200.453 Materials and supplies costs, including costs of computing devices.

INTANGIBLE PROPERTY (DECEMBER 2014)

Title to intangible property (as defined in 2 CFR Part 200.59) acquired under a Federal award vests upon acquisition in the non-Federal entity. Intangible property includes trademarks, copyrights, patents and patent applications.

See 2 CFR Part 200.315 for additional requirements pertaining to intangible property acquired under a Federal award.

Also see 2 CFR Part 910.362 for amended requirements for Intellectual Property for For-Profit recipients.

PROPERTY TRUST RELATIONSHIP (DECEMBER 2014)

Real property, equipment, and intangible property, that are acquired or improved with a Federal award must be held in trust by the non-Federal entity as trustee for the beneficiaries of the project or program under which the property was acquired or improved.

See 2 CFR Part 200.316 for additional requirements pertaining to real property, equipment, and intangible property acquired or improved under a Federal award.

INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

a. You shall immediately notify the DOE of the occurrence of any of the following events: (i) you or your parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) your consent to the institution of an involuntary case under the Bankruptcy Act against you or your parent; (iii) the filing of any similar proceeding for or against you or your parent, or its consent to, the dissolution, winding-up or readjustment of your debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over you, under any other applicable state or federal law; or (iv) your insolvency due to your inability to pay your debts generally as they become due.

b. Such notification shall be in writing and shall: (i) specifically set out the details of the occurrence of an event referenced in paragraph a; (ii) provide the facts surrounding that event; and (iii) provide the impact such event will have on the project being funded by this award.

c. Upon the occurrence of any of the four events described in the first paragraph, DOE reserves the right to conduct a review of your award to determine your compliance with the required elements of the award (including such items as cost share, progress towards technical project objectives, and submission of required reports). If the DOE review determines that there are significant deficiencies or concerns with your performance under the award, DOE reserves the right to impose additional requirements, as needed, including (i) change your payment method; or (ii) institute payment controls.

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

PERFORMANCE OF WORK IN UNITED STATES

The Recipient agrees that all work under this award shall be performed in the United States, unless the Recipient can demonstrate to the satisfaction of the Department of Energy that the United States economic interest will be better served through a greater percentage of the work being performed outside the United States.

CATEGORICAL EXCLUSION (CX)

DOE must comply with the National Environmental Policy Act (NEPA) prior to authorizing the use of federal funds. Based on all information provided by the Recipient, DOE has made a NEPA determination by issuing a CX, thereby authorizing use of funds for the defined project activities. If the Recipient later adds to or modifies the activities reviewed and approved under the original DOE NEPA determination, the Recipient must notify the DOE Contracting Officer before proceeding with the new and/or modified activities. Those additions or modifications may be subject to review by the DOE NEPA Compliance Officer and approval by the DOE Contracting Officer and may require a new NEPA determination.

SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS

A. Requirement for System for Award Management (SAM) Unless exempted from this requirement under 2 CFR 25.110, the prime recipient must remain registered and maintain current information in SAM for the entire period of performance of the award. This includes providing information on the prime recipient's immediate and highest level owner and subsidiaries, as well as on all of its predecessors that have been awarded a Federal contract or Federal financial assistance agreements within the last three years, if applicable, until the prime recipient submits the final financial report required under this award or receives the final payment, whichever is later. This requires the prime recipient to review its information in SAM at least annually after the initial registration, and to update its information as soon as there are changes. Reviews and updates may be required more frequently due to changes in recipient information or as required by another award term.

B. Requirement for Unique Entity Identifier

If authorized to make subawards under this award, the prime recipient:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward until the entity has provided its unique entity identifier to the prime recipient.

2. Must not make a subaward to an entity unless the entity has provided its unique entity identifier to the prime recipient. Subrecipients are not required to obtain an active SAM registration, but must obtain a unique entity identifier.

C. Definitions

For purposes of this term:

1. System for Award Management (SAM) means the Federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM internet site (currently at <https://www.sam.gov>).

2. Unique Entity Identifier means the identifier assigned by SAM to uniquely identify business entities.

3. Entity includes non-Federal entities as defined at 2 CFR 200.1 and also includes all of the following for purposes of this part:

- a. A foreign organization;
- b. A foreign public entity;
- c. A domestic for-profit organization; and
- d. A Federal agency.

4. Subaward has the meaning given in 2 CFR 200.1.

5. Subrecipient has the meaning given in 2 CFR 200.1.

FINAL INCURRED COST AUDIT (DECEMBER 2014)

In accordance with 2 CFR Part 200 as amended by 2 CFR Part 910, DOE reserves the right to initiate a final incurred cost audit on this award. If the audit has not been performed or completed prior to the closeout of the award, DOE retains the right to recover an appropriate amount after fully considering the recommendations on disallowed costs resulting from the final audit.

LOBBYING RESTRICTIONS (MARCH 2012)

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

CORPORATE FELONY CONVICTION AND FEDERAL TAX LIABILITY ASSURANCES (MARCH 2014)

By entering into this agreement, the undersigned attests that The Narragansett Electric Company has not been convicted of a felony criminal violation under Federal law in the 24 months preceding the date of signature.

The undersigned further attests that The Narragansett Electric Company does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these assurances, the following definitions apply:

A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS ASSURANCES (JUNE 2015)

(1) By entering into this agreement, the undersigned attests that The Narragansett Electric Company does not and will not require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(2) The undersigned further attests that The Narragansett Electric Company does not and will not use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

a. "These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."

b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

c. Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE (DECEMBER 2015)

a. General Reporting Requirement

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

b. Proceedings About Which You Must Report

Submit the information required about each proceeding that:

1. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

2. Reached its final disposition during the most recent five year period; and

3. Is one of the following:

(A) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;

(B) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;

(C) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or

(D) Any other criminal, civil, or administrative proceeding if:

(i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;

(ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and

(iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

c. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

d. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

e. Definitions

For purposes of this award term and condition:

1. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or A. Reporting of Matters Related to Recipient Integrity and Performance.

2. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

3. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(A) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(B) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

SUBAWARD/SUBCONTRACT CHANGE NOTIFICATION

Except for subawards and/or subcontracts specifically proposed as part of the Recipient's Application for award, the Recipient must notify the DOE Contracting Officer and Project Officer in writing 30 days prior to the execution of new or modified subawards/subcontracts. This notification does not constitute a waiver of the prior approval requirements outlined in 2 CFR 200, nor does it relieve the Recipient from its obligation to comply with applicable Federal statutes, regulations, and executive orders.

In order to satisfy this notification requirement, Recipient documentation must, as a minimum, include the following:

1. A description of the research to be performed, the service to be provided, or the equipment to be purchased;
2. Cost share commitment letter if the subawardee is providing cost share to the award;
3. Updated budget justification, budget pages;
4. An assurance that the process undertaken by the Recipient to solicit the subaward/subcontract complies with their written procurement procedures as outlined in 2 CFR 200.317 through 200.327.
5. An assurance that no planned, actual or apparent conflict of interest exists between the Recipient and the selected subawardee/subcontractor and that the Recipient's written standards of conduct were followed;¹
6. A completed Environmental Questionnaire, if applicable;
7. An assurance that the subawardee/subcontractor is not a debarred or suspended entity; and
8. An assurance that all required award provisions will be flowed down in the resulting subaward/subcontract.

The Recipient is responsible for making a final determination to award or modify subawards/subcontracts under this agreement, but the Recipient may not proceed with the subaward/subcontract until the Contracting Officer determines, and provides the Recipient written notification, that the information provided is adequate.

Should the Recipient not receive a written notification of adequacy from the Contracting Officer within 30 days of the submission of the subaward/subcontract documentation stipulated above, Recipient may proceed to award or modify the proposed subaward/subcontract.

GO/NO-GO DECISION - NETL

The Government has elected to include go/no-go decision(s) in the Project Management Plan (PMP). If it is advantageous for the Government to proceed beyond the go/no go decision point(s), the Contracting Officer will notify the recipient in writing authorizing the recipient to proceed beyond the go/no go decision point in the PMP.

If it is determined that it would not be advantageous for the Government to proceed beyond the technical milestone(s), the Contracting Officer will notify the recipient in writing of such decision and the award is considered completed. The maximum liability to the Government is limited to the allowable, allocable, and reasonableness of the cost incurred by the recipient within the funds made available. The Government reserves the right to deobligate any remaining funds from the award. The recipient shall submit all final deliverables, including final project accomplishments, for the completed work in accordance with the reporting requirements of the award.

¹ It is DOE's position that the existence of a "covered relationship" as defined in 5 C.F.R. § 2635.502(a)&(b) between a member of the Recipient's owners or senior management and a member of a subawardee's/subcontractor's owners or senior management creates at a minimum an apparent conflict of interest that would require the Recipient to notify the Contracting Officer and provide detailed information and justification (including, for example, mitigation measures) as to why the subaward or subcontract does not create an actual conflict of interest. Recipients must also notify the Contracting Officer of any new subcontract or subaward to: (1) an entity that is owned or otherwise controlled by the Recipient; or (2) an entity that is owned or otherwise controlled by another entity that also owns or otherwise controls the Recipient, as it is DOE's position that these situations also create at a minimum an apparent conflict of interest.

IMPLEMENTATION OF EXECUTIVE ORDER 13798, PROMOTING FREE SPEECH AND RELIGIOUS LIBERTY (NOVEMBER 2020)

States, local governments, or other public entities may not condition sub-awards in a manner that would discriminate, or disadvantage sub-recipients based on their religious character.

CONTINUED USE OF REAL PROPERTY AND EQUIPMENT (OCTOBER 2022)

Real property and equipment purchased with project funds (federal share and recipient cost share) under this Award are subject to the requirements at 2 CFR 200.311, 200.313, and 200.316 (non-Federal entities, except for-profit entities) and 2 CFR 910.360 (for-profit entities). The Recipient may continue to use the real property and equipment after the conclusion of the award period of performance so long as the Recipient:

- a. Continues to use the property for the authorized project purposes;
- b. Complies with the applicable reporting requirements and regulatory property standards;
- c. As applicable to for-profit entities, UCC filing statements are maintained; and
- d. Submits a written Request for Continued Use for DOE authorization, which is approved by the DOE Contracting Officer.

The Recipient must request authorization from the Contracting Officer to continue to use the property for the authorized project purposes beyond the award period of performance (“Request for Continued Use”). The Recipient’s written Request for Continued Use must identify the property and include: a summary of how the property will be used (must align with the authorized project purposes); a proposed use period (e.g., perpetuity, until fully depreciated, or a calendar date where the Recipient expects to submit disposition instructions); acknowledgement that the recipient shall not sell or encumber the property or permit any encumbrance without prior written DOE approval; current fair market value of the property; and an Estimated Useful Life or depreciation schedule for equipment.

When the property is no longer needed for authorized project purposes, the Recipient must request disposition instructions from DOE. For-profit entity disposition requirements are set forth at 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 through 200.316.

FOREIGN NATIONAL PARTICIPATION – APPROVAL REQUIRED (APRIL 2024)

If the Recipient (including any of its subrecipients and contractors) anticipates involving foreign nationals in the performance of this award, the Recipient must provide DOE with specific information about each foreign national to ensure compliance with the requirements for foreign national participation and access approvals. The volume and type of information required may depend on various factors associated with the award.

Approval for foreign nationals in Principal Investigator/Co-Principal Investigator roles, from countries of risk (i.e., China, Iran, North Korea, and Russia), and from countries identified on the U.S. Department of State’s list of State Sponsors of Terrorism (<https://www.state.gov/state-sponsors-of-terrorism/>) must be obtained from DOE before they can participate in the performance of any work under this award.

A “foreign national” is defined as a person without United States citizenship or nationality (may include a stateless person). DOE may elect to deny a foreign national’s participation in the award. Likewise, DOE may elect to deny a foreign national’s access to a DOE sites, information, technologies, equipment, programs, or personnel. DOE’s determination to deny participation or access is not appealable.

The Recipient must include this term in any subaward and in any applicable contractual agreement(s) associated with this award.

POST AWARD DUE DILIGENCE REVIEWS (APRIL 2024)

During the period of performance of the Award, DOE may conduct ongoing due diligence reviews, through Government resources, to identify potential risks of undue foreign influence. In the event a risk is identified, DOE may require risk mitigation measures, including but not limited to, requiring an individual or entity not participate in the Award. As part of the research, technology, and economic security risk review, DOE may contact the Recipient project team members for additional information to inform the review.

EXPORT CONTROL (JUNE 2024)

The United States government regulates the transfer of information, commodities, technology, and software considered to be strategically important to the U.S. to protect national security, foreign policy, and economic interests without imposing undue regulatory burdens on legitimate international trade. There is a network of Federal agencies and regulations that govern exports that are collectively referred to as “Export Controls.” The Recipient is responsible for ensuring compliance with all applicable United States Export Control laws and regulations relating to any work performed under the award.

The Recipient must immediately report to DOE any export control investigations, charges, convictions, and violations upon occurrence, at the recipient or subrecipient level, and for convictions/violations, provide the corrective action(s) to prevent future convictions/violations.

INTERIM CONFLICT OF INTEREST POLICY FOR FINANCIAL ASSISTANCE (MARCH 2023)

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy) can be found at <https://www.energy.gov/management/department-energy-interim-conflict-interest-policy-requirements-financial-assistance>. This policy is applicable to all non-Federal entities applying for, or that receive, DOE funding by means of a financial assistance award (e.g., a grant, cooperative agreement, or technology investment agreement) and, through the implementation of this policy by the entity, to each Investigator who is planning to participate in, or is participating in, the project funded wholly or in part under this Award. The term “Investigator” means the PI and any other person, regardless of title or position, who is responsible for the purpose, design, conduct, or reporting of a project funded by DOE or proposed for funding by DOE. The Recipient must flow down the requirements of the interim COI Policy to any subrecipient non-Federal entities, with the exception of DOE National Laboratories. Further, the Recipient must identify all financial conflicts of interests (FCOI), i.e., managed and unmanaged/ unmanageable, in its initial and ongoing FCOI reports.

Prior to award, the Recipient was required to: 1) ensure all Investigators on this Award completed their significant financial disclosures; 2) review the disclosures; 3) determine whether a FCOI exists; 4) develop and implement a management plan for FCOIs; and 5) provide DOE with an initial FCOI report that includes all FCOIs (i.e., managed and unmanaged/unmanageable). Within 180 days of the date of the Award, the Recipient must be in full compliance with the other requirements set forth in DOE's interim COI Policy.

ORGANIZATIONAL CONFLICT OF INTEREST (APRIL 2024)

Organizational conflicts of interest are those where, because of relationships with a parent company, affiliate, or subsidiary organization, the Recipient is unable or appears to be unable to be impartial in conducting procurement action involving a related organization (2 CFR 200.318(c)(2)).

The Recipient must disclose in writing any potential or actual organizational conflict of interest to the DOE Contracting Officer. The Recipient must provide the disclosure prior to engaging in a procurement or transaction using project funds with a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe. For a list of the information that must be included the disclosure, see Section VI. of the DOE interim Conflict of Interest Policy for Financial Assistance at <https://www.energy.gov/management/departments-energy-interim-conflict-interest-policy-requirements-financial-assistance>.

If the effects of the potential or actual organizational conflict of interest cannot be avoided, neutralized, or mitigated, the Recipient must procure goods and services from other sources when using project funds.

The Recipient must flow down the requirements of the interim COI Policy to any subrecipient non-Federal entities, with the exception of DOE National Laboratories. The Recipient is responsible for ensuring subrecipient compliance with this term.

If the Recipient has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe, the Recipient must maintain written standards of conduct covering organizational conflicts of interest.

PROHIBITION ON CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (APRIL 2024)

As set forth in 2 CFR 200.216, recipients and subrecipients are prohibited from obligating or expending project funds (Federal and non-Federal funds) to:

- (1) Procure or obtain;
- (2) Extend or renew a contract to procure or obtain;
- (3) Exercise an option to procure; or
- (4) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-

232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

(i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

(ii) Telecommunications or video surveillance services provided by such entities or using such equipment.

(iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

See Public Law 115-232, section 889 for additional information.

PROHIBITION RELATED TO FOREIGN GOVERNMENT-SPONSORED TALENT RECRUITMENT PROGRAMS (MARCH 2023)

A. Prohibition

Persons participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk* are prohibited from participating in this Award. The Recipient must exercise ongoing due diligence to reasonably ensure that no individuals participating on the DOE-funded project are participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk*. Consequences for violations of this prohibition will be determined according to applicable law, regulations, and policy. Further, the Recipient must notify DOE within five (5) business days upon learning that an owner of the Recipient or subrecipient or individual on the project team is or is believed to be participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk*. DOE may modify and add requirements related to this prohibition to the extent required by law.

B. Definitions

1. **Foreign Government-Sponsored Talent Recruitment Program.** An effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United

States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

2. **Foreign Country of Risk.** DOE has designated the following countries as foreign countries of risk: Iran, North Korea, Russia, and China. This list is subject to change.

PARTICIPANTS AND OTHER COLLABORATING ORGANIZATIONS (APRIL 2024)

Prior to award, the Recipient was required to provide the following information on participants and other collaborating organizations. If there are any changes to Participants and Collaborating Organizations information previously submitted to DOE, the Recipient must submit updated information within thirty (30) calendar days after the end of the quarterly reporting period in which the change occurred:

A. What individuals have worked on the project

Provide the following information for individuals at the prime recipient and subrecipient level: (1) all senior and key personnel; (2) authorized representative of applicant with primary responsibility for business support (e.g., financial management, fiscal oversight, providing resources, award administration, etc.), if other than listed senior/key personnel, e.g., the Administrative Officer listed on the SF-424 Application; and (3) each person who has worked or is expected to work at least one person month per year on the project regardless of the source of compensation (a person month equals approximately 160 hours of effort).

- i. Name
- ii. Organization
- iii. Job Title
- iv. Role in the project
- v. Start and end date (month and year) working on the project
- vi. State, U.S. territory, and/or country of residence
- vii. Whether this person collaborated with an individual or entity located in a foreign country in connection with the scope of this Award, and
- viii. If yes to vii, whether the person traveled to the foreign country as part of that collaboration, and, if so, where and what the duration of stay was.

B. Organizations

Identify all subrecipients, contractors, U.S. National Laboratories, partners, and collaborating organizations. Recipients must also include all foreign collaborators as outlined in the Foreign Collaboration Considerations term of the award Terms and Conditions. For each, provide name, UEI, zip code or latitude/longitude, role in the project, contribution to the project and start and end date.

HUMAN SUBJECTS RESEARCH (MARCH 2023)

Research involving human subjects, biospecimens, or identifiable private information conducted with Department of Energy (DOE) funding is subject to the requirements of DOE Order 443.1C, *Protection of Human Research Subjects*, 45 CFR Part 46, *Protection of Human Subjects (subpart A which is referred to as the "Common Rule")*, and 10 CFR Part 745, *Protection of Human Subjects*.

Federal regulation and the DOE Order require review by an Institutional Review Board (IRB) of all proposed human subjects research projects. The IRB is an interdisciplinary ethics board responsible for ensuring that the proposed research is sound and justifies the use of human subjects or their data; the potential risks to human subjects have been minimized; participation is voluntary; and clear and accurate information about the study, the benefits and risks of participating, and how individuals' data/specimens will be protected/used, is provided to potential participants for their use in determining whether or not to participate.

The Recipient shall provide the Federal Wide Assurance number identified in item 1 below and the certification identified in item 2 below to DOE prior to initiation of any project that will involve interactions with humans in some way (e.g., through surveys); analysis of their identifiable data (e.g., demographic data and energy use over time); asking individuals to test devices, products, or materials developed through research; and/or testing of commercially available devices in buildings/homes in which humans will be present. *Note:* This list of examples is illustrative and not all inclusive.

No DOE funded research activity involving human subjects, biospecimens, or identifiable private information shall be conducted without:

- 1) A registration and a Federal Wide Assurance of compliance accepted by the Office of Human Research Protection (OHRP) in the Department of Health and Human Services; and
- 2) Certification that the research has been reviewed and approved by an Institutional Review Board (IRB) provided for in the assurance. IRB review may be accomplished by the awardee's institutional IRB; by the Central DOE IRB; or if collaborating with one of the DOE national laboratories, by the DOE national laboratory IRB.

The Recipient is responsible for ensuring all subrecipients comply and for reporting information on the project annually to the DOE Human Subjects Research Database (HSRD) at <https://science.osti.gov/HumanSubjects/Human-Subjects-Database/home>. *Note:* If a DOE IRB is used, no end of year reporting will be needed.

Additional information on the DOE Human Subjects Research Program can be found at: <https://science.osti.gov/ber/human-subjects>.

FRAUD, WASTE AND ABUSE (MARCH 2023)

The mission of the DOE Office of Inspector General (OIG) is to strengthen the integrity, economy and efficiency of DOE's programs and operations including deterring and detecting fraud, waste, abuse and mismanagement. The OIG accomplishes this mission primarily through

investigations, audits, and inspections of Department of Energy activities to include grants, cooperative agreements, loans, and contracts. The OIG maintains a Hotline for reporting allegations of fraud, waste, abuse, or mismanagement. To report such allegations, please visit <https://www.energy.gov/ig/ig-hotline>.

Additionally, the Recipient must be cognizant of the requirements of 2 CFR 200.113 Mandatory disclosures, which states:

The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in appendix XII of 2 CFR Part 200 are required to report certain civil, criminal, or administrative proceedings to SAM (currently FAPIIS). Failure to make required disclosures can result in any of the remedies described in § 200.339. (See also 2 CFR part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

TRANSPARENCY OF FOREIGN CONNECTIONS (APRIL 2024)

The Recipient must notify the DOE Contracting Officer within fifteen (15) business days of learning of the following circumstances in relation to the Recipient and subrecipients:

1. Any current or pending subsidiary, foreign business entity, or offshore entity that is based in or funded by any foreign country of risk or foreign entity based in a country of risk;
2. Any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an entity owned by a country of risk or foreign entity based in a country of risk;
3. Any current or pending change in ownership structure of the Recipient or subrecipients that increases foreign ownership related to a country of risk. Each notification shall be accompanied by a complete and up-to-date capitalization table showing all equity interests held including limited liability company (LLC) and partnership interests, as well as derivative securities. Include both the number of shares issued to each equity holder, as well as the percentage of that series and of all equity on fully diluted basis. For each equity holder, provide the place of incorporation and the principal place of business, as applicable. If the equity holder is a natural person, identify the citizenship(s);
4. Any current or pending venture capital or institutional investment by an entity that has a general partner or individual holding a leadership role in such entity who has a foreign affiliation with any foreign country of risk;
5. Any current or pending technology licensing or intellectual property sales to a foreign country of risk; and
6. Any changes to the Recipient or the subrecipients' board of directors, including additions to the number of directors, the identity of new directors, as well as each new director's citizenship, shareholder affiliation (if applicable); each notification shall include a complete up-to-date list of all directors (and board observers), including their full name, citizenship and shareholder

affiliation, date of appointment, duration of term, as well as a description of observer rights as applicable.

7. Any proposed changes to the equipment used on the project that would result in:
 - a. Equipment originally made or manufactured in a foreign country of risk (including relabeled or rebranded equipment).
 - b. Coded equipment where the source code is written in a foreign country of risk.
 - c. Equipment from a foreign country of risk that will be connected to the internet or other remote communication system.
 - d. Any companies from a foreign country of risk that will have physical or remote access to any part of the equipment used on the project after delivery.

Should DOE determine the connection poses a risk to economic or national security, DOE will require measures to mitigate or eliminate the risk.

DOE has designated the following countries as foreign countries of risk: Iran, North Korea, Russia, and China. This list is subject to change.

Recognizing the disclosures may contain business confidential information, subrecipients may submit their disclosures directly to DOE.

FOREIGN COLLABORATION CONSIDERATIONS (MARCH 2023)

- A. Consideration of new collaborations with foreign entities, organizations, and governments. The Recipient must provide DOE with advanced written notification of any potential collaboration with foreign entities, organizations or governments in connection with its DOE-funded award scope. The Recipient must await further guidance from DOE prior to contacting the proposed foreign entity, organization or government regarding the potential collaboration or negotiating the terms of any potential agreement.
- B. Existing collaborations with foreign entities, organizations and governments. The Recipient must provide DOE with a written list of all existing foreign collaborations, organizations, and governments in which has entered in connection with its DOE-funded award scope.
- C. In general, a collaboration will involve some provision of a thing of value to, or from, the Recipient. A thing of value includes but may not be limited to all resources made available to, or from, the recipient in support of and/or related to the Award, regardless of whether or not they have monetary value. Things of value also may include in-kind contributions (such as office/laboratory space, data, equipment, supplies, employees, students). In-kind contributions not intended for direct use on the Award but resulting in provision of a thing of value from or to the Award must also be reported. Collaborations do not include routine workshops, conferences, use of the Recipient's services and facilities by foreign investigators resulting from its standard published process for evaluating requests for access, or the routine use of foreign facilities by awardee staff in accordance with the Recipient's standard policies and procedures.

ACCESS RESTRICTIONS

The Recipient (including its employees, directors, officers, managers, agents, contractors, vendors, or other representatives, and includes the respective successors or assigns of the foregoing) shall not, and shall ensure that its subsidiaries or affiliates under its control shall not, disclose any information that is not publicly available (including technical data, or any other information that is not publicly available or required to be made public under applicable law or regulation) developed under this DOE-funded project with any subsidiary, affiliate, investor, supplier, licensee at any tier, vendor for Recipient end customers, or joint development partner that: (1) has a place of incorporation or a principal place of business in a Foreign Country of Risk (for entities) or (2) is a national of a Foreign Country of Risk (for individuals). The Recipient shall also ensure that its subsidiaries or affiliates under its control adhere to this same restriction.

The Recipient shall provide on an annual basis and upon request of the DOE Contracting Officer (CO), a certificate of compliance with this term to the CO or designee.

REPORTING SUBAWARD AND EXECUTIVE COMPENSATION (SEPTEMBER 2023)

a. Reporting of first-tier subawards.

1. **Applicability.** Unless the Recipient is exempt as provided in paragraph d. of this award term, the Recipient must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph e. of this award term).
2. **Where and when to report.**
 - i. The non-Federal entity or Federal agency must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.
 - ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. **What to report.** The Recipient must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting total compensation of recipient executives for non-Federal entities.

1. **Applicability and what to report.** The Recipient must report total compensation for each of its five most highly compensated executives for the preceding completed fiscal year, if
 - i. The total Federal funding authorized to date under this Federal award is \$30,000 or more as defined in 2 CFR 170.320;
 - ii. In the preceding fiscal year, the Recipient received:
 - a) 80 percent or more of the Recipient's annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

- b) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <https://www.sec.gov/answers/execomp.htm>.)
2. Where and when to report. The Recipient must report executive total compensation described in paragraph b.1. of this award term:
 - i. As part of the Recipients registration profile at <https://www.sam.gov>.
 - ii. By the end of the month following the month in which this award is made, and annually thereafter.
- c. Reporting of total compensation of subrecipient executives.
 1. Applicability and what to report. Unless the Recipient is exempt as provided in paragraph d. of this award term, for each first-tier non-Federal entity subrecipient under this award, the Recipient shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if:
 - i. In the subrecipient's preceding fiscal year, the subrecipient received;
 - a) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - b) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
 - ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <https://www.sec.gov/answers/execomp.htm>.)
 2. Where and when to report. The Recipient must report subrecipient executive total compensation described in paragraph c.1. of this award term:
 - i. To the recipient
 - ii. By the end of the month following the month during which the Recipient makes the subaward. For example, if a subaward is obligated on any date during the month of October of a given year

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

d. Exemptions

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

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

e. Definitions. For purposes of this award term:

1. *Federal Agency* means a Federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f).

2. *Non-Federal entity* means all of the following, as defined in 2 CFR part 25:

- i. A Governmental organization, which is a State, local government, or Indian tribe;
- ii. A foreign public entity;
- iii. A domestic or foreign nonprofit organization; and
- iv. A domestic or foreign for-profit organization.

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

4. *Subaward*:

- i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the Recipient received this award and that the recipient awards to an eligible subrecipient.
- ii. The term does not include the Recipient's procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.331).
- iii. A subaward may be provided through any legal agreement, including an agreement that the Recipient or a subrecipient considers a contract.

5. *Subrecipient* means a non-Federal entity or Federal agency that:

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

6. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year. For more information on disclosure and reporting requirements, see 17 CFR 229.402(c)(2).

POTENTIALLY DUPLICATIVE FUNDING NOTICE (MARCH 2023)

If the Recipient or subrecipients have or receive any other award of federal funds for activities that potentially overlap with the activities funded under this Award, the Recipient must promptly notify DOE in writing of the potential overlap and state whether project funds (i.e., recipient cost share and federal funds) from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items under this Award. If there are identical cost items, the Recipient must promptly notify the DOE Contracting Officer in writing of the potential duplication and eliminate any inappropriate duplication of funding.

IMPACTED INDIAN TRIBES (MAY 2024)

If any activities anticipated to take place under this agreement could potentially impact the resources or reserved rights of Indian Tribe(s), as defined in 25 U.S.C. § 5304 (e), then the recipient/awardee agrees to develop and maintain active and open communications with the potentially impacted Indian Tribe(s), during the period of performance of the agreement, and, if necessary, after the end of the agreement. Approval by DOE must be obtained before any activities take place that could impact Tribal resources or reserved rights, including but not limited to lands, cultural sites, sacred sites, water rights, mineral rights, fishing rights, and hunting rights. The recipient/awardee must coordinate with DOE on all Tribal interactions. DOE will determine if formal government-to-government consultation is needed, and DOE will conduct that consultation accordingly.

- Tribal lands is as defined in 25 U.S.C. §§ 3501(2), (3), (4)(A) and (13).
- Indian Tribe is as defined in 25 U.S.C. § 5304 (e).

REPORTING, TRACKING AND SEGREGATION OF INCURRED COSTS (MARCH 2023)

BIL funds can be used in conjunction with other funding, as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the BIL and related Office of Management and Budget (OMB) Guidance. The Recipient must keep separate records for BIL funds and must ensure those records comply with the requirements of the BIL.

COMMUNITY BENEFITS OUTCOMES AND OBJECTIVES (APRIL 2024)

The Recipient must meet the stated objectives and milestones set forth in its Community Benefits Outcomes and Objectives, which is incorporated into the Award as an attachment. Reporting on the Recipient's progress towards meeting the objectives and milestones set forth in the Community Benefits Outcomes and Objectives must be submitted in accordance with the Federal Assistance Reporting Checklist, attached to this award.

CYBERSECURITY PLAN (APRIL 2024) (NETL – JUNE 2024)

The Secretary of Energy, per BIL Section 40126, designated the DOE's Office of Cybersecurity, Energy Security, and Emergency Response (CESER) as responsible for coordinating cybersecurity project plans for IJA provisions the Secretary deemed to have a cyber risk. CESER coordinates with DOE National Laboratory Subject Matter Experts (SMEs) to provide project lifecycle support activities that maintain or improve the project cybersecurity over its lifecycle.

The Recipient is responsible for maintaining and improving project cybersecurity throughout the project period, including responding to DOE feedback on the plans and the associated milestones, deliverables, and attending associated cybersecurity plan lifecycle support meeting dates with CESER and DOE SMEs. **The Recipient will revise their Cybersecurity Plan as requested by the DOE, incorporating specified changes within sixty (60) days of receiving notice from the DOE.** Any revisions to the cybersecurity plans and all related deliverables shall be emailed securely to CR-IJACybersecurityplans@hq.doe.gov.

Any DOE and/or National Laboratory review comments or feedback provided to Recipients does not constitute an endorsement or approval of any specific elements within the cybersecurity plan or the proposed security approach. Therefore, such feedback should not be referenced or used in marketing or promotional materials.

All cybersecurity plans and deliverables are exempt from disclosure under the Freedom of Information Act (5 U.S.C. § 552) pursuant to Section 40126(e). This exemption is limited to information provided to or collected by the federal government described in Pub. L. 117-58 § 41026, 42 U.S.C. § 18725.

DAVIS-BACON ACT REQUIREMENTS (NETL - JUNE 2024)

This Award is funded under Division D of the Bipartisan Infrastructure Law (BIL). All laborers and mechanics employed by the recipient, subrecipients, contractors or subcontractors in the performance of construction, alteration, or repair work in excess of \$2,000 on a project assisted in whole or in part by funds made available under this Award shall be paid wages at rates not less than those prevailing on similar projects in the locality, as determined by the Secretary of Labor in accordance with Subchapter IV of Chapter 31 of Title 40, United States Code commonly referred to as the “Davis-Bacon Act” (DBA) and its implementing regulations in 29 CFR parts 1, 3, and 5 (collectively the “Davis-Bacon Act Requirements”).

Award recipients shall provide written acknowledgement and confirmation of compliance with the Davis-Bacon Act Requirements which include but are not limited to:

1. Ensuring that laborers and mechanics on BIL funded/assisted projects are paid at least the prevailing wage for their work classification on applicable projects.
2. Ensuring that laborers and mechanics on BIL funded/assisted projects are paid on a weekly basis.
3. Ensuring that the applicable wage determination(s) for construction work performed by laborers and mechanics employed by the recipient, subrecipients, contractors, or subcontractors are identified and obtained from the database at www.sam.gov, by 1) selecting “Wage Determinations,” then, 2) selecting “Public Buildings and Public Works,” then, 3) filtering search results by State (selecting the appropriate state from the drop-down menus), and by County or Independent City (selecting the appropriate County/Independent City from the drop-down menu) in which the work will take place, then, 4) selecting the appropriate construction type (e.g., Building, Residential, Heavy, or Highway). The appropriate wage determination number hyperlink should be selected from the result. If the wage determination which opens lists a “Last Revised Date” after the date of the contract award/start of construction, then scroll to the bottom of the document, and under History, click on the wage determination with the date closest to, but still before the date of contract award/start of construction.
4. Ensuring that applicable wage determination(s) are uploaded to LCPtracker (see below section on LCPtracker).

5. Ensuring that the applicable wage determination(s) and the required contract provisions per 29 CFR 5.5 are flowed down to and incorporated into any applicable contracts/subcontracts or subrecipient awards.
6. Preserving a copy of the applicable wage determination(s) identified and obtained from www.sam.gov, for a period of 3 years after the construction, alteration or repair work herein is completed.
7. Maintaining responsibility for compliance by any lower-tier subcontractors or subrecipients subject to the Davis-Bacon Act Requirements.
8. Receiving and reviewing certified weekly payrolls submitted by all subcontractors and subrecipients for accuracy as needed and identifying potential compliance issues.
9. Maintaining original certified weekly payrolls for 3 years after the completion of the project and making those payrolls available to the Department of Energy or the Department of Labor upon request.
10. Conducting site-visit interviews with employees as needed to provide reasonable assurance of compliance with subcontractors and subrecipients.
11. Cooperating with authorized representatives of the Department of Energy or Department of Labor in the inspection of DBA-related records, on-site interviews of laborers and mechanics, and other reasonable requests related to a DBA investigation.
12. Posting in a prominent and accessible place the applicable wage determination(s) and Department of Labor Publication: WH-1321, Notice to Employees Working on Federal or Federally Assisted Construction Projects.
13. Notifying the Contracting Officer of Davis-Bacon Act Requirement issues, including complaints, violations (as defined in 29 CFR 5.7), disputes (pursuant to 29 CFR parts 4, 6, and 8 and as defined in FAR 52.222-14), disputed DBA-related determinations, Department of Labor investigations, or legal/judicial proceedings related to the Davis-Bacon Act Requirements under this contract, subcontract, or subrecipient award.
14. Preparing and submitting the Semi-Annual Labor Enforcement Report, by April 21 and October 21 of each year, in accordance with the reporting instructions in Attachment 2, Federal Assistance Reporting Checklist.
15. Maintain competency in complying with Davis-Bacon Act Requirements. The Contracting Officer will notify the recipient of any DOE-sponsored Davis-Bacon Act compliance trainings. The Department of Labor offers free Prevailing Wage Seminars several times a year that meet this requirement, at <https://www.dol.gov/agencies/whd/government-contracts/construction/seminars/events>.

To avoid voluminous attachments under this award, all applicable wage determination(s) included in the www.sam.gov database and uploaded to LCPtracker are incorporated by reference herein as if set forth and attached in full. The applicable wage determination(s) are effective herein even if they have not been attached to the contract/subcontract(s) or subrecipient awards thereunder or have not been correctly identified and obtained from www.sam.gov and/or uploaded to LCPtracker.

The Department of Energy has contracted with LCPtracker, a third-party DBA electronic payroll compliance software application. A waiver for the use of LCPtracker may be granted to a particular contractor or subcontractor if they are unable or limited in their ability to use or access the software.

Davis-Bacon Act Electronic Certified Payroll Submission Waiver

A waiver must be granted before the start of work subject to Davis-Bacon Act requirements (e.g., construction, alteration, or repair work). The recipient does not have the right to appeal DOE's decision concerning a waiver request.

For additional guidance on how to comply with the Davis-Bacon provisions and clauses, see <https://www.dol.gov/agencies/whd/government-contracts/construction> and <https://www.dol.gov/agencies/whd/government-contracts/protections-for-workers-in-construction>.

AFFIRMATIVE ACTION AND PAY TRANSPARENCY REQUIREMENTS (SEPTEMBER 2023)

All federally assisted construction contracts exceeding \$10,000 annually will be subject to the requirements of Executive Order 11246:

- (1) Recipients, subrecipients, and contractors are prohibited from discriminating in employment decisions on the basis of race, color, religion, sex, sexual orientation, gender identity or national origin.
- (2) Recipients and Contractors are required to take affirmative action to ensure that equal opportunity is provided in all aspects of their employment. This includes flowing down the appropriate language to all subrecipients, contractors and subcontractors.
- (3) Recipients, subrecipients, contractors and subcontractors are prohibited from taking adverse employment actions against applicants and employees for asking about, discussing, or sharing information about their pay or, under certain circumstances, the pay of their co-workers.

The Department of Labor's (DOL) Office of Federal Contractor Compliance Programs (OFCCP) uses a neutral process to schedule contractors for compliance evaluations. OFCCP's Technical Assistance Guide should be consulted to gain an understanding of the requirements and possible actions the recipients, subrecipients, contractors and subcontractors must take. See OFCCP's Technical Assistance Guide at: <https://www.dol.gov/sites/dolgov/files/ofccp/Construction/files/ConstructionTAG.pdf?msclkid=9e397d68c4b111ec9d8e6fecb6c710ec>.

Additionally, for construction projects valued at \$35 million or more and lasting more than one year, Recipients, subrecipients, contractors, or subcontractors may be selected by OFCCP to participate in the Mega Construction Project Program. DOE, under relevant legal authorities including Sections 205 and 303(a) of Executive Order 11246, will require participation as a condition of the award. This program offers extensive compliance assistance with EO 11246. For more information regarding this program, see <https://www.dol.gov/agencies/ofccp/construction/mega-program>.

CONSTRUCTION SIGNAGE (MAY 2024)

The recipient is encouraged to display DOE Investing in America signage during and after construction. Guidance can be found at: (<https://www.energy.gov/design>). Proposed signage costs that meet these specifications are an allowable cost and may be included in the proposed project budget.

Attachment 1



October 2, 2023

Department of Energy

**Standard Intellectual Property (IP) Provisions for Financial Assistance
Awards issued ON OR AFTER October 1, 2021**

Recipient Name	The Narragansett Electric Company
Award Number	DE-GD0000910
Type of Award	Grant
Type of Project	Non-R&D
Type of Recipient	Large Business, Government Entity or Foreign
US Manufacture/DEC	No (Requires Patent Counsel Concurrence)
Special Data Statute	None -- No Special Data (Unlimited Rights)
Supplemental Instructions	None
DOE IP Clause Number	NRD-821
Data Rights	No Data Clause
Patent Rights	No Patent Clause
USM Requirements	No Patent Clause
Provisions	



October 2, 2023

Department of Energy

Intellectual property rights are subject to 2 CFR 200.315 (e.g. institution of higher education or nonprofit organizations) or 2 CFR 910.362 (e.g. for-profit).

DE-GD0000910 / BASE
Attachment 2

STATEMENT OF PROJECT OBJECTIVES (SOPO)

Bipartisan Infrastructure Law (BIL): Smart Grid for Smart Decarbonization: Deploying advanced Informational Technology/Operational Technology to meet nation-leading clean energy mandates.

A. OBJECTIVES

The goal of Smart Grid for Smart Decarbonization: Deploying advanced Informational Technology (IT)/Operational Technology (OT) to meet nation-leading clean energy mandates (Project) is to enable smart decarbonization, such that the State of Rhode Island can meet its climate and clean energy mandates safely, reliably, and affordably. The Project team will demonstrate a viable path to aggressive decarbonization at scale by successfully deploying a portfolio of smart OT and IT. The Project will leverage collective expertise and strong stakeholder relationships to develop a practical, efficient, and just-in-time deployment plan that results in successful Project deployment and meaningful community engagement. The Project will invest in foundational solutions determined by extensive data-driven electrical analysis and decarbonization scenario modeling. The Project will defer to stakeholders with first-hand understanding and experience to ensure deployment plans, cost recovery, and operations work for all Rhode Island Energy (RIE) customers including a special focus on underrepresented customers in disadvantaged communities.

B. SCOPE OF WORK

The Project Team's approach to achieve the proposed overall Project objectives is through deliberate deployment of each IT and OT component, thoughtful integration of all IT and OT components, meaningful community, and stakeholder engagement throughout the period of performance, and ongoing robust communication both within the Project Team and with United States Department of Energy (DOE).

DE-GD0000910 / BASE
Attachment 2

The following is the list of planned deployments followed by a brief description of each.

TECHNOLOGY AREA	INVESTMENTS
Informational Tech	Advanced Distribution Management System (ADMS) and Advanced Energy Management Systems (AEMS)
	Digital Twin
Operational Tech	Advanced Reclosers
	Smart Digital Relays
	Smart Capacitors and Regulators
	Fiberoptic Communications Backbone

Technology Descriptions

INFORMATIONAL TECHNOLOGY INVESTMENTS

- ADMS is an enterprise software platform used by RIE to command and control the electric distribution system, including outage management and system operations.
- AEMS is the equivalent software platform to ADMS used by PPL services corporation (PPL) to control the flow of power on the transmission system.
- Digital Twin is an upgraded GIS (Geographic Information System) mapping software with a new Utility Network ESRI tool, the Automated Utility Design (AUD), to supplement geographic mapping of physical assets with smart modeling of interactions such as electrical, mechanical, and communication, for each component on the electric power system.

OPERATIONAL TECHNOLOGY INVESTMENTS

- Advanced Reclosers are circuit breakers equipped with a mechanism programmed to automatically close after opening due to fault, sectionalizing the power system so fewer customers are affected by any single outage.
- Smart Digital Relays are communication-ready relays that can adapt to power flow and other changes in system conditions with flexible settings, custom logic, and multiple settings groups, aimed at reducing outages and improving (reducing) restoration time.
- Smart Capacitors and Regulators adjust system voltages up and down in a dynamic manner to accommodate the variable output of DER (distributed energy resource) technologies and increase grid flexibility.
- The Fiberoptic Communications Backbone will support communications to and from substations to significantly improve data flow, reliability, and resiliency of communications.

DE-GD0000910 / BASE
Attachment 2

The project's IT and OT investments are a holistic solution to achieve the grid flexibility required for a decarbonized future. IT solutions – ADMS and AEMS, and Digital Twin are the requisite foundation for automated data processing and grid operations. Smart devices in the field both provide the granular data and carry out the commands given by the IT systems. The fiberoptic communications backbone connects the IT and OT to ensure these communications are received. With these interrelated investments in place, the grid will be transformed from a first-generation, fossil-fueled analog EPS (electric power systems) to the automated, digital platform needed to interconnect decarbonized DER and serve electric end uses, transportation, and heating.

Each of the IT deployment tasks is staged such that each subtask builds on the previous subtask, representing a sequential workflow that is both logical and practical for deployment of these IT components. Each IT deployment task culminates in a subtask to develop a case study on that IT component; these case studies will be incorporated into the final report at the end of the period of performance.

By calling out engagement, the Project Team intends to provide the salience its engagement plans deserve. In practice, the engagement proposed will be fully integrated with the IT and OT deployment tasks, the integration task, and the Project management task.

C. TASKS TO BE PERFORMED

TASK 1.0: PROJECT MANAGEMENT AND PLANNING

Subtask 1.1: Project Management Plan (PMP):

Within 30 days of award, RIE shall provide a Project Management Plan (PMP) to the designated Federal Project Officer (FPO). RIE shall not proceed beyond Task 1.0 until the PMP has been accepted by the FPO.

The PMP shall be revised and resubmitted as often as necessary, during the course of the Project, to capture any major/significant changes to the planned approach, budget, key personnel, major resources, etc.

RIE shall manage and direct the Project in accordance with the accepted PMP to meet all technical, schedule and budget objectives and requirements. RIE will coordinate activities to effectively accomplish the work. RIE will ensure that Project plans, results, and decisions are appropriately documented, and that Project reporting and briefing requirements are satisfied.

DE-GD0000910 / BASE
Attachment 2

Subtask 1.2: Community Benefits Plan

Within 30 days of award, RIE shall revise the Community Benefits Plan (CBP) and submit to the designated FPO. RIE shall not proceed beyond Task 1.0 until the CBP has been accepted by the FPO.

The CBP shall be revised and resubmitted as often as necessary, during the Project execution, to capture any major/significant changes to the CBP with regard to the four priority goals: Community and Labor Engagement; Investing in the American Workforce; Diversity, Equity, Inclusion, and Accessibility; and Justice 40 Initiative.

RIE will coordinate activities to effectively implement the CBP goals. RIE will ensure that metrics, SMART community benefits plan commitments, and outcomes are appropriately documented, and that reporting and briefing requirements to stakeholders are satisfied.

Subtask 1.3: National Environmental Policy Act (NEPA) Compliance

As required, RIE shall provide the documentation necessary for NEPA compliance.

Subtask 1.4: Cybersecurity Plan (CSP)

RIE will submit a Cybersecurity Plan (CSP) during the negotiation phase and the CSP shall be revised and resubmitted as often as necessary, during the course of the Project, to capture any major/significant changes.

Subtask 1.5: Regulatory, State, Local, Regional, and/or Federal Approval

As applicable, RIE will secure and maintain relevant regulatory agency, state, local, regional, and/or federal agencies approvals.

PHASE 1 – DESIGN, PERMITTING, AND SITING

TASK 2.0: Design, Permitting, and Siting

Subtask 2.1 – Perform Detailed Design:

Review existing assets to determine the need to upgrade poles, substation components, and associated equipment to implement resiliency enhancements and asset modernization projects. Review locations to determine the need and feasibility of additional smart grid equipment. The substation and distribution line engineering groups will develop a scope of work to solicit design quotes and receive drawing packages on a per-station/location basis.

DE-GD0000910 / BASE
Attachment 2

Subtask 2.2 – Create Outage Plan:

In coordination with System Planning, Distribution Control Centers, Engineering, and Construction create a Construction Work Outage Sequence to execute the work in the field. Such Construction Work Outage Sequence will allow for reliable service to customers during asset upgrades or replacement for construction and a detailed strategy for the conversion events.

Subtask 2.3 – Acquire Right of Way and Permits:

Determine if right of way is needed for additional substation or line locations. Acquire necessary construction and/or railroad permits.

Subtask 2.4 – Prints to Construction:

After the design is complete, detailed work requests and associated prints are issued for construction and reviewed prior to work.

- Digital Twin - 75% complete with deployment planned in 2024.
- ADMS - 75% complete with deployment planned in 2024.
- AEMS - 75% complete with deployment planned in 2024.
- Advanced Reclosers - Design work to begin in 2024.
- Smart Digital Relays - Design work to begin in 2024.
- Smart Capacitors and Regulators – Design work to begin in 2024.
- Fiberoptic Communications Backbone – Fiber Optics study to begin in 2024.

Subtask 2.5 – Develop and Finalize Bill of Materials (BOM):

After design and engineering has been completed, a BOM is defined. Materials are acquired through pre-approved material agreements with vendors.

PHASE 2 – PROCUREMENT AND ACQUISITION (Materials and Services)

TASK 3.0: PROCUREMENT, SCHEDULING, & CONSTRUCTION ENGAGEMENT

Subtask 3.1 – Complete Material Procurement:

After the materials are identified, purchase orders will be issued with vendors for equipment being acquired for the Project.

Subtask 3.2 – Materials Delivered:

Material delivery will be selected at issuance of purchase orders. Per Project material will be transported from RIE storage facilities to Project site at beginning of construction.

Subtask 3.3 – Construction Planning:

Secure resources who will be supporting work either internally or externally. For external contractors, engage with contractors of choice through bidding process.

TASK 4.0: COMMUNITY & STAKEHOLDER ENGAGEMENT

Subtask 4.1 – Communication and Community Engagement Plan:

Utilize a comprehensive communications plan to educate employees, customers, and community stakeholders about the project throughout its duration. Diverse employee and customer audiences and community stakeholders with varying interests make it essential to develop dynamic outreach, engagement, educational and training materials.

PHASE 3 – CONSTRUCTION, TESTING, and COMMISSIONING

TASK 5: EXECUTION & FINAL CONSTRUCTION

Subtask 5.1 – Fiber Optic Network Installation

Deploy fiber optic cable; locations of deployment strategized to match locations of smart field devices such that benefits from those devices can begin to accrue.

Subtask 5.2 – Informational Technology:

Subtask 5.2.a – Digital Twin

Deploy the Digital Twin for the electric distribution system. Complete and launch the Digital Twin component and perform data migrations, infrastructure development, and system configuration.

Subtask 5.2.b – Advanced Distribution Management System (ADMS) Platform

DE-GD0000910 / BASE
Attachment 2

Install ADMS platform consisting of traditional Distribution Management System and Outage Management System functionality and with advanced features to include Fault Location Isolation Service Restoration, Volt Var Optimization, Conservative Voltage Reduction, Distribution Energy Resources Management System.

Subtask 5.2.c – Advanced Energy Management System (AEMS)

Install AEMS platform that operationalizes Dynamic Line Ratings.

Subtask 5.2.d - Produce deliverables

Entails writing, incorporating feedback from stakeholders and SMEs.

Subtask 5.3 – Smart Field Devices and Communications:

RIE will install the advanced reclosers, smart digital relays, smart capacitors and regulators, the fiber-optic communications backbone, and any other associated hardware or subsystems required as listed in the following subtasks.

Subtask 5.3.a – Field Deployment of Advanced reclosers

Subtask 5.3.b – Field Deployment of Smart digital relays

Subtask 5.3.c – Field Deployment of Smart capacitors and regulators

Subtask 5.3 – Project Closeout:

Update and provide reports including mapping system, engineering records, financial documents, and asset management systems to show equipment in-service and project complete.

D. DELIVERABLES

The RIE shall provide a list of deliverables to be submitted during the project, including:

- Subtask 1.1: Project Management Plan as outlined above
- Subtask 1.2: Community Benefits Plan as outlined above
- Subtask 1.3: NEPA Compliance (as applicable)
- Subtask 1.4: Cybersecurity Plan
- Subtask 1.5: Project Closeout Reports including engineering report(s), equipment in-service, commissioning, and project completion reports and documentation.

Technical Go/No Go Decision Briefings Document(s)

Final Project Accomplishments (format to be provided by the FPM)

- Due 30 days prior to the end of the performance period

RIE shall list additional deliverables as appropriate including any documents that will be delivered to DOE.

DE-GD0000910 / BASE
Attachment 2

In addition to the deliverables listed above, RIE shall submit all periodic, topical, final, and other reports in accordance with the Federal Assistance Reporting Checklist and accompanying instructions.

E. BRIEFINGS/TECHNICAL PRESENTATIONS

RIE shall prepare, and present periodic briefings, technical presentations and demonstrations as requested by the FPO, which may be held at a DOE or RIE's facility, other mutually agreeable location, or via webinar. Such meetings may include all or a combination of the following:

Kickoff Briefing - Not more than 60 days after submission of the PMP, RIE shall prepare and present a Project summary briefing as part of a Project Kickoff Meeting.

Technical Go/No Go Decision Briefings – Not less than 90 days prior to each 12-18 month increment, RIE shall brief the DOE on the performance relative to project success criteria, milestones, Go/No-Go Decision point metrics that are documented in the PMP, and their plans for the subsequent periods of work. The Go/No-Go Decision will be based on the successful completion of both the work relative to the milestones and metrics as defined in the PMP (including approval of associated deliverables) as well as meeting the established milestones defined in the Community Benefits Outcomes and Objectives (CBOO) for the given performance period. A determination will then be provided as written authorization from the DOE Contracting Officer (CO) to proceed in accordance with the award terms and conditions. The DOE will consider the information from this briefing, as well as the content of deliverables submitted to date, prior to authorizing continuing the project.

Final Project Briefing - Not less than 30 days prior to the end of the project, RIE shall prepare and present a Final Project Briefing on the results and accomplishments of the entire project.

Other Briefings – RIE shall prepare and present technical, financial, and/or administrative briefings as requested by the DOE. A project technical review briefing will be conducted no less than annually. Additionally, the DOE may require RIE to make technical presentations at mutually agreeable national and/or industry conferences.



Federal Assistance Reporting Checklist

Attachment 3

1. Award Number: DE-GD0000910 / BASE	2. Program/Project Title: Bipartisan Infrastructure Law - Smart Grid for Smart Decarbonization: Deploying advanced IT/OT to meet nation-leading clean energy mandates	
3. Recipient: The Narragansett Electric Company		
4. Reporting Requirements (see also the Special Instructions)	Frequency	Addresses
I. PROJECT MANAGEMENT REPORTING <input checked="" type="checkbox"/> A. Performance Report – Narrative <input checked="" type="checkbox"/> B. Performance Report – Quantitative <input checked="" type="checkbox"/> C. Financial Report (SF-425) <input type="checkbox"/> D. Scientific and Technical Reporting <input type="checkbox"/> 1. Accepted Manuscript of Journal Article(s) <input type="checkbox"/> 2. Conference Product(s) <input type="checkbox"/> 3. Technical Report(s) <input type="checkbox"/> 4. Software & Manual(s) <input type="checkbox"/> 5. Dataset(s) <input type="checkbox"/> 6. Other STI (Dissertation / Thesis, etc.) <input checked="" type="checkbox"/> E. Intellectual Property Reporting <input checked="" type="checkbox"/> 1. Intellectual Property Reporting <input type="checkbox"/> 2. Invention Utilization Report <input checked="" type="checkbox"/> F. Project Management Plan (PMP) <input checked="" type="checkbox"/> G. Special Status Report <input type="checkbox"/> H. Continuation Application <input checked="" type="checkbox"/> I. Other Project Management Reporting (see Special Instructions) II. AWARD MANAGEMENT REPORTING <input type="checkbox"/> A. Current and Pending Support <input checked="" type="checkbox"/> B. Demographic Reporting <input checked="" type="checkbox"/> C. Financial Conflict of Interest Report <input type="checkbox"/> D. Tangible Personal Property Report – Annual Property Report (SF-428 & SF-428A) <input checked="" type="checkbox"/> E. Tangible Personal Property Report – Disposition Request/Report (SF-428 & SF-428C) <input checked="" type="checkbox"/> F. Uniform Commercial Code (UCC) Financing Statements <input checked="" type="checkbox"/> G. Federal Subaward Reporting System (FSRS) <input checked="" type="checkbox"/> H. Annual Incurred Cost Proposal <input checked="" type="checkbox"/> I. Fringe Reconciliation Form <input checked="" type="checkbox"/> J. DOE For-Profit Compliance Audit <input type="checkbox"/> K. Single Audit: States, Locals, Tribal Governments, and Non-Profits <input type="checkbox"/> L. Other Award Management Reporting (see Special Instructions) III. CLOSEOUT REPORTING <input type="checkbox"/> A. Final Scientific/Technical Report <input type="checkbox"/> A.1. Final Scientific/Technical Report – Unlimited <input type="checkbox"/> A.2. Final Scientific/Technical Report – Data Protection <input type="checkbox"/> B. Invention Certification (DOE F 2050.11) <input checked="" type="checkbox"/> C. Tangible Personal Property Report – Final Report (SF-428 & SF-428B) <input type="checkbox"/> D. Verification of Receipt of Accepted Manuscripts <input type="checkbox"/> E. Other Closeout Reporting (see Special Instructions) IV. POST-PROJECT REPORTING <input type="checkbox"/> A. Scientific and Technical Reporting <input type="checkbox"/> B. Intellectual Property Reporting	Q Q F, Q A5, P A5, P A5, P A5, P A5, P A5, P A5, P A5, P A5 A5 A5 A5 A5 A5 Y A5 A5 Y180 Y180 O O A5 F F F F F F P P	A. EERE PMC B. EERE PMC C. EERE PMC D.1. OSTI E-Link D.2. OSTI E-Link D.3. OSTI E-Link D.4. DOE CODE D.5. OSTI E-Link Datasets D.6. OSTI E-Link E.1. iEdison E.2. iEdison F. EERE PMC G. EERE PMC H. EERE PMC I. See Special Instructions A. EERE PMC B. EERE PMC C. EERE PMC D. EERE PMC E. EERE PMC F. See section II. F. for instructions and due dates G. FSRS H. See section II. H. for instructions and due dates I. See Section II. I. for instructions and due dates J. See section II. J. for instructions and due dates K. See section II. K. for instructions and due dates L. See Special Instructions A.1. OSTI E-Link A.2. OSTI E-Link B. EERE PMC C. EERE PMC D. See section III. D. for instructions and due dates E. See Special Instructions A. OSTI E-Link B. iEdison



Federal Assistance Reporting Checklist

Attachment 3

4. Reporting Requirements (see also the Special Instructions)	Frequency	Addresses
<p>V. BIPARTISAN INFRASTRUCTURE LAW/INFLATION REDUCTION ACT REPORTING</p> <p><input checked="" type="checkbox"/> A. Community Benefits Report</p> <p><input type="checkbox"/> B. Boosting Domestic Manufacturing</p> <p><input checked="" type="checkbox"/> C. Quality Job Creation</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 1. Direct Jobs</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 2. Training Outcomes</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 3. Good Jobs Outcomes</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 4. Permanent Jobs</p> <p><input checked="" type="checkbox"/> D. Equity and Justice</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 1. Community Engagement Process</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 2. Engagement Events and Technical Assistance</p> <p style="padding-left: 20px;"><input checked="" type="checkbox"/> 3. Community Ownership</p> <p><input type="checkbox"/> E. Pathway to Net-Zero</p> <p style="padding-left: 20px;"><input type="checkbox"/> 1. Infrastructure Supported</p> <p style="padding-left: 20px;"><input type="checkbox"/> 2. Hydrogen Production</p> <p style="padding-left: 20px;"><input type="checkbox"/> 3. Carbon Capture, Removal, and Storage</p> <p style="padding-left: 20px;"><input type="checkbox"/> 4. Energy Saved</p> <p><input checked="" type="checkbox"/> F. Davis Bacon Act Semi-Annual Labor Compliance Report</p>	<p style="text-align: center;">Y</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">A5</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">Q</p> <p style="text-align: center;">Q</p> <p style="text-align: center;">Q</p> <p style="text-align: center;">Q</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">A5, Y, F</p> <p style="text-align: center;">A5</p>	<p>A. EERE PMC</p> <p>B. EERE PMC</p> <p>C.1. See Section V. C. I for instructions and due dates.</p> <p>C.2. EERE PMC</p> <p>C.3. EERE PMC</p> <p>C.4. EERE PMC</p> <p>D.1. EERE PMC</p> <p>D.2. EERE PMC</p> <p>D.3. EERE PMC</p> <p>E.1. EERE PMC</p> <p>E.2. EERE PMC</p> <p>E.3. EERE PMC</p> <p>E.4. EERE PMC</p> <p>F. EERE PMC</p>

FREQUENCY CODES AND DUE DATES:

A5 – As Specified or within five (5) calendar days after the event.

F – Final; within 120 calendar days after expiration or termination of the award.

O – Other: See instructions for further details.

P – Post-project (after the period of performance); within five (5) calendar days after the event, or as specified.

Q – Quarterly; within 30 calendar days after the end of the federal fiscal year quarter.

S – Semiannually; within 30 days after end of the reporting period.

Y – Yearly; within 90 calendar days after the end of the federal fiscal year or termination of the award.

Y180 – Yearly; within 180 calendar days after the close of the recipient’s fiscal year.

FULL URLS:

OSTI E-Link: <https://www.osti.gov/elink/2413-submission.jsp>

OSTI E-Link Datasets: <https://www.osti.gov/elink/2416-submission.jsp>

DOE CODE: <https://www.osti.gov/doecode/>

iEdison: <https://www.nist.gov/iedison>

EERE PMC: <https://www.eere-pmc.energy.gov/SubmitReports.aspx>

FSRS: <https://www.fsr.gov>

5. Special Instructions:

Recipient’s fiscal year end date: [December 31](#)

No indirect costs proposed

De minimis rate used/No fringe proposed

I. Project Management Reporting:

I. Other

If deliverables are identified in the Statement of Project Objectives, Award Attachment 2, the Recipient will submit the deliverables in accordance with the instructions contained therein.



Federal Assistance Reporting Checklist

Attachment 3

Table of Contents

I.	Project Management Reporting	6
A.	Performance Report Narrative (PRN)	6
1.	Cover Page	6
2.	Summary	7
3.	Special Reporting	8
B.	Performance Report Quantitative (PRQ)	9
1.	Organizations	9
2.	Tasks and Milestones	9
3.	Contractual Cost Summary	9
4.	Cost Summary	9
5.	Spend Plan	9
6.	Earned Value Management	10
7.	Products	10
8.	Participants	12
9.	Special Reporting Requirements	12
C.	Financial Report SF-425 Federal Financial Report	12
D.	Scientific and Technical Reporting	13
1.	Accepted Manuscript of Journal Article	13
2.	Conference Product(s)	14
3.	Technical Report(s)	15
4.	Software & Manual(s)	15
5.	Dataset(s)	16
6.	Other STI (Dissertation / Thesis, etc.)	16
E.	Intellectual Property Reporting	17
1.	Intellectual Property Reporting	17
2.	Invention Utilization Report	18
F.	Project Management Plan (PMP)	18
1.	Revised Plan(s)	19
2.	Content of revised PMP	19
G.	Special Status Reports	22
H.	Continuation Application	25



Federal Assistance Reporting Checklist

Attachment 3

- I. Other Project Management Reporting (see Special Instructions)..... 25
- II. Award Management Reporting 25
 - A. Current and Pending Support 25
 - B. Demographic Reporting..... 27
 - C. Financial Conflict of Interest Report 28
 - D. Tangible Personal Property Report – Annual Property Report (SF-428 & SF-428A) 29
 - E. Tangible Personal Property Report – Disposition Request/Report (SF-428 & SF-428C) .. 29
 - F. Uniform Commercial Code (UCC) Financing Statements 30
 - G. Federal Subaward Reporting System (FSRS)..... 31
 - H. Annual Incurred Cost Proposals..... 31
 - I. Fringe Reconciliation Form 32
 - J. DOE For-Profit Compliance Audit 33
 - K. Single Audit: States, Local Government, Tribal Governments, Institution of Higher Education (IHE), or Non-Profit Organization 33
 - L. Other Award Management Reporting (see Special Instructions)..... 34
- III. Closeout Reporting 34
 - A. Final Scientific/Technical Report 34
 - 1. Final Technical Reports – Unlimited 36
 - 2. Final Technical Reports – Protected Data..... 37
 - B. Invention Certification (DOE F 2050.11) 38
 - C. Tangible Personal Property Report – Final Report (SF-428 & SF-428B) 38
 - D. Verification of Receipt of Accepted Manuscripts 38
 - E. Other Closeout Reporting (see Special Instructions)..... 39
- IV. Post-Project Reporting..... 39
 - A. Scientific and Technical Reporting..... 39
 - B. Intellectual Property Reporting 39
- V. Bipartisan Infrastructure Law/Inflation Reduction Act Reporting..... 40
 - A. Community Benefits Report 40
 - B. Boosting Domestic Manufacturing 40
 - 1. Domestic Manufacturing & Critical Materials and Rare Earth Element Mining, Processing, Production & Recycling Capacity 40
 - 2. GHG Emissions & Air Pollutants..... 40
 - 3. Equipment..... 41



Federal Assistance Reporting Checklist

Attachment 3

C.	Quality Job Creation.....	41
1.	Direct Jobs.....	41
2.	Training Outcomes.....	41
3.	Good Jobs Outcomes	42
4.	Permanent Jobs	42
D.	Equity and Justice	42
1.	Community Engagement Process	43
2.	Engagement Events and Technical Assistance	43
3.	Community Ownership.....	43
E.	Pathways to Net Zero.....	43
1.	Infrastructure Supported.....	43
2.	Hydrogen Production.....	44
3.	Carbon Capture, Removal, Storage.....	44
4.	Energy Saved.....	44
F.	Davis Bacon Act Semi-Annual Labor Compliance Report	44
VI.	Appendix A: Notice To Recipients (Prime Recipients And Subrecipients) Regarding Protected Data, Limited Rights Data And Protected Personally Identifiable Information.....	46



Federal Assistance Reporting Checklist

Attachment 3

Reporting Instructions (02/2024)

***** Throughout the performance of the project, it is important that you mark Protected Data/Limited Rights Data as described in Appendix A. It is equally important that you not submit Protected Personally Identifiable Information (Protected PII) to DOE. See Appendix A for guidance on Protected PII. *****

I. Project Management Reporting

A. Performance Report Narrative (PRN)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 30 calendar days after the end of the quarterly reporting period (January 30, April 30, July 30, October 30)

Every quarter, the prime recipient is required to submit a Performance Report - Narrative (PRN) and a [Performance Report Quantitative \(PRQ\)](#) for the project. Together these two documents summarize the entirety of work performed by the prime recipient, subrecipients, and contractors. The Performance Report - Narrative contains qualitative information on the project progress. The Performance Report - Quantitative captures quantitative information on the project progress. The PRN must include the following information. A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

1. Cover Page

- a. Federal Agency and Organization Element to Which Report is Submitted
- b. Federal Grant or Other Identifying Number Assigned by Agency
- c. Project Title
- d. Program Director/Principal Investigator/Lead Project Manager (PD/PI) Name, Title, and Contact Information (e-mail address and phone number)
- e. Business Contact Name, Title, and Contact Information (e-mail address and phone number)
- f. Submission Date
- g. Recipient Organization (Name and Address)
- h. Period of Performance (Start Date, End Date)
- i. Budget Period (Start Date, End Date)
- j. Reporting Period (Start Date, End Date)
- k. Certification by the Submitting Official that includes: Signature of Submitting Official (electronic signatures (i.e., Adobe Acrobat) are acceptable); date of signature; and the following certification statement:



Federal Assistance Reporting Checklist

Attachment 3

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate. I am aware that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001, Section 287 and Title 31, Sections 3729-3730). I further understand and agree that the information contained in this report are material to Federal agency's funding decisions and I have an ongoing responsibility to promptly update the report within the time frames stated in the terms and conditions of the above referenced Award, to ensure that my responses remain accurate and complete.

2. Summary

The purpose of the Summary is to describe a high-level status on the items listed below. This section should be a mix of short paragraphs and bullet points.

Major Goals and Objectives

Provide a summary of the major project goals and objectives. This should be the same from quarter to quarter and align with the Statement of Project Objectives (SOPO)/Statement of Work (SOW).

Technical Achievement(s)

Provide a summary of all significant technical progress of the project in achieving objective and programmatic goals during the life of the project. This should include key outcomes or other achievements, such as major findings, developments, or conclusions (both positive and negative), information dissemination, etc. This section should be a cumulative summary of technical achievements with newly added comments for the current reporting period highlighted.

Impact

State how the findings, results, or techniques developed in this project will continue to make an impact on the specific fields of research in this project and in other disciplines, which may include training and educational experiences; human resource development in science, engineering, and technology; technology transfer; and societal impacts.

Project Schedule Status

Provide a narrative summary of the status of tasks with respect to the plan for the quarter and budget period. If deviations from the schedule are noted, describe the impacts and mitigation alternatives that are in place or planned in the Changes/Problems section below.



Federal Assistance Reporting Checklist

Attachment 3

Project Budget Status

Provide a summary of the project expenditures and costs with respect to the plan for the quarter and budget period. If applicable, describe the variance, associated impacts, and mitigation alternatives that are in place or planned in the Changes/Problems section below.

Changes/Problems

Include any planned or anticipated changes to scope, schedule, or budget. Proposed award modifications noted solely within a Performance Report do not constitute a proposed award modification. Significant changes to the award scope, schedule, and budget must be submitted to the Grants Management Specialist/Contract Specialist and the Project Officer and must be approved by the Contracting Officer/Grants and Agreements Officer. If there is nothing significant to report during this reporting period, state "Nothing to Report."

Key Personnel Changes

Describe planned or actual changes in principal investigator, business contacts, or senior/key personnel and the impact to achieving project objectives.

Scope Issues

Describe issues with completing the required project scope identified in the SOPO/SOW, the impacts to achieving project objectives and program goals if applicable, and proposed mitigation alternatives. The quantitative impact to achievement of Technical Milestones and Go/No Go decision points and key deliverables should also be addressed.

Schedule Issues

Describe issues with achieving the planned activities identified in the project schedule and the impact to the award budget period end dates and the overall award period of performance. The quantitative impact to the timing of Technical Milestones and Go/No Go decision points, and key deliverables should also be addressed.

Budget Issues

Describe changes during the reporting period that may have a significant positive or negative impact on expenditures or the overall budget.

3. Special Reporting

Respond to any special reporting requirements specified in the award Terms and Conditions, as well as any award specific reporting requirements outlined in the FARC Special Instructions.



Federal Assistance Reporting Checklist

Attachment 3

B. Performance Report Quantitative (PRQ)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 30 calendar days after the end of the quarterly reporting period (January 30, April 30, July 30, October 30)

Every quarter, the prime recipient is required to submit a [Performance Report Narrative \(PRN\)](#) and a Performance Report - Quantitative (PRQ) for the project. Together these two documents summarize the entirety of work performed by the prime recipient, subrecipients, and contractors. The Performance Report - Narrative contains qualitative information on the project progress. The Performance Report - Quantitative captures quantitative information on the project progress. The PRQ must include the following information. A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

1. Organizations

Identify all subrecipients, contractors, U.S. National Laboratories, partners, and collaborating organizations. Recipients must also include all foreign collaborators as outlined in the Foreign Collaboration Considerations term of the award Terms and Conditions. For each, provide name, UEI, zip code or latitude/longitude, role in the project, contribution to the project, and start and end date.

2. Tasks and Milestones

Enter all tasks and milestones identified in your Statement of Project Objectives (SOPO), Project Management Plan (PMP), or other document which outlines your project scope, schedule and budget, Community Benefits Plan (CBP), and Cybersecurity Plan (if directed by your DOE Project Team). Each quarter, update the status of the task/milestone, the physical percent complete, and, when applicable, the actual month complete.

3. Contractual Cost Summary

For each subrecipient and contractor working on the project (excluding FFRDCs), provide a summary of the work, approved budget, and actual expenses.

4. Cost Summary

Using your approved budget, enter the project costs by budget category and report actual expenses each quarter. Also include budgeted and actual recipient cost share.

5. Spend Plan

For both federal and recipient cost share, enter the planned spending for the entire project period. Planned spend means when the project team anticipates incurring costs. Each quarter, update with actual federal and recipient spend.



Federal Assistance Reporting Checklist

Attachment 3

6. Earned Value Management

When required by your DOE project team, complete the table for Earned Value Management.

7. Products

What has the project produced?

List any products resulting from the project during the reporting period. Specific product submission instructions can be found in [Scientific and Technical Reporting](#). Examples of products include: publications, conference papers, and presentations; website(s); technologies or techniques; inventions, patent applications, and/or licenses; and other products, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments or equipment, research material, interventions (e.g., clinical or educational), new business creation or any other public release of information related to the project.

a. Publications, conference papers, and presentations

Report the publication(s) resulting from the work under this award.

Please note: Recipients must use the DOE acknowledgement and legal disclaimer language as described in the Special Terms and Conditions.

The recipient is reminded that all data produced under the award should comply with the award's data management plan (DMP). The DMP provides a plan for making all research data displayed in publications resulting from the proposed work digitally accessible at the time of publication. At a minimum, the DMP (1) describes how data sharing and preservation will enable validation of the results from the proposed work, how the results could be validated if data are not shared or preserved and (2) has a plan for making all research data displayed in publications resulting from the proposed work digitally accessible at the time of publications.

i. Accepted Manuscript(s) of Journal Article

List peer-reviewed articles or papers that have been submitted for publication in scientific, technical, or professional journals. Include any paper submitted for peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under "Books or other non-periodical, one-time publications."

Identify for each publication: Author(s); title; journal; volume: year; page numbers; status of publication (published; accepted, awaiting publication;



Federal Assistance Reporting Checklist

Attachment 3

submitted, under review; other); acknowledgement of federal support (yes/no); legal disclaimer language (yes/no). Also see instructions under II.

Scientific/Technical Reporting regarding the submission of accepted manuscripts and other STI as appropriate.

ii. Books or other non-periodical, one-time publications

Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like.

Identify for each one-time publication: author(s); title; editor; title of collection, if applicable; bibliographic information; year; type of publication (book, thesis or dissertation, other); status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no); legal disclaimer language (yes/no).

iii. Other publications, conference papers and presentations

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

b. Website(s)

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

c. Technologies or techniques

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

d. Inventions, patent applications, and/or licenses

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

e. Other products

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



Federal Assistance Reporting Checklist

Attachment 3

8. Participants

The following information on participants (individuals) was provided during award negotiations. On a quarterly basis, provide updates as needed. For most projects, recipients must identify and provide specific information for the following individuals at the prime and subrecipient level: (1) all senior and key personnel (including project director(s)/principal investigator(s)); and (2) each person who has worked or is expected to work at least 160 hours on the project at least one person month per year on the project regardless of the source of compensation (a person month equals approximately 160 hours of effort). In limited circumstances, typically large-scale construction projects, recipients are only required to report on (1) senior and key personnel for the prime recipient and subrecipients. Please refer to the Participants and Other Collaborating Organizations Term in your award Terms and Conditions to determine what level of reporting is required for your specific award.

a. What individuals have worked on the project?

Provide the following information for individuals at the prime recipient and subrecipient level: (1) all senior and key personnel; and (2) each person who has worked or is expected to work at least one person month per year on the project regardless of the source of compensation (a person month equals approximately 160 hours of effort).

- i. Name
- ii. Organization
- iii. Job Title
- iv. Role in the project
- v. Start and end date (month and year) working on the project
- vi. State, U.S. territory, and/or country of residence
- vii. Whether this person collaborated with an individual or entity located in a foreign country in connection with the scope of this Award, and
- viii. If yes to a.vii, whether the person traveled to the foreign country as part of that collaboration, and, if so, where and what the duration of stay was.

9. Special Reporting Requirements

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

C. Financial Report SF-425 Federal Financial Report

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 30 calendar days after the end of the quarterly reporting period (January 30, April 30, July 30, October 30) and within 120 calendar days after expiration or termination of the award



Federal Assistance Reporting Checklist

Attachment 3

Every quarter, the prime recipient is required to submit a completed SF-425 for the project to DOE, covering the entirety of work performed by the prime recipient, subrecipients, and contractors – to DOE. A fillable version of the SF-425 is available at <https://www.grants.gov/forms/forms-repository/post-award-reporting-forms>.

D. Scientific and Technical Reporting

The dissemination of scientific and technical information (STI) ensures public access to the results of federally funded research. STI refers to information products in any medium or format used to convey results, findings, or technical innovations from research and development or other scientific and technological work that are prepared with the intention of being preserved and disseminated in the broadest sense applicable (i.e., to the public or, in the case of controlled unclassified information or classified information, disseminated among authorized individuals). By properly submitting STI to DOE Energy Link System (E-Link), the information will be made available to the public through OSTI.GOV.

NOTE: SCIENTIFIC/TECHNICAL PRODUCTS INTENDED FOR PUBLIC RELEASE MUST NOT CONTAIN PROTECTED PERSONALLY IDENTIFIABLE INFORMATION (PII). Please refer to Appendix A for more information.

1. Accepted Manuscript of Journal Article

Submit to:	DOE Energy Link System (E-Link) available at https://www.osti.gov/elink/2413-submission.jsp
Submission deadline:	No later than the published online date of the article

Public access to scholarly publications is enabled by providing the Accepted Manuscript (AM) of the Journal Article to DOE OSTI and is consistent with the U.S. Government's retained license to published results of federally-funded research. If the recipient has a journal article accepted for publication which includes information/data produced under the award, then the recipient must submit an Announcement Notice (AN) 241.3, as described below, no later than the published online date of the article.

Content. The recipient is to provide the final peer-reviewed AM, i.e., the version of a journal article that has been peer reviewed and accepted for publication in a journal. Do NOT submit the journal's published version of the article, i.e., do NOT submit a copyrighted reprint.

DOE will make no additional review of the content of the AM because the AM is the version of the journal article with the content to be published (i.e., publicly released) by the journal publisher.



Federal Assistance Reporting Checklist

Attachment 3

The recipient must self-certify at the time of submission to DOE via E-Link that the content is appropriate and that it is not a copyrighted reprint, i.e., the final version of the published article. Recipients are reminded that the article is to include an acknowledgement of federal support and a legal disclaimer as required in the “Publications” Term in the award Special Terms and Conditions.

The recipient is also reminded that all data produced under the award should comply with the award’s data management plan (DMP). The DMP provides a plan for making all research data displayed in publications resulting from the proposed work digitally accessible at the time of publication. At a minimum, the DMP (1) describes how data sharing and preservation will enable validation of the results from the proposed work, how the results could be validated if data are not shared or preserved and (2) has a plan for making all research data displayed in publications resulting from the proposed work digitally accessible at the time of publications.

Electronic Submission Process. The AM of the Journal Article must be provided electronically via the DOE Energy Link System (E-Link) and must be accompanied by a completed DOE Announcement Notice (AN) 241.3 (<https://www.osti.gov/mlink/2413-submission.jsp>).

2. Conference Product(s)

Submit to:	DOE Energy Link System (E-Link) available at https://www.osti.gov/mlink/2413-submission.jsp
Submission deadline:	Within five (5) calendar days after the event, or as specified

The recipient must submit a copy of any scientific/technical conference papers, proceedings, or presentations.

Content: The content should include a copy of the paper, presentation, or proceeding and: (1) name of conference; (2) location of conference; (3) date of conference; and (4) conference sponsor. Also include an acknowledgement of federal support and a legal disclaimer as described in the Special Terms and Conditions.

Electronic Submission Process: Scientific/technical conference proceedings, papers/presentations or must be submitted via the DOE Energy Link System (E-Link) with a completed DOE Announcement Notice (AN) 241.3 (<https://www.osti.gov/mlink/2413-submission.jsp>).

The recipient is responsible for ensuring the suitability of the content for public release. The terms and conditions of award provide that submissions must not contain any Protected Personally Identifiable Information (PII), limited rights data (proprietary data),



Federal Assistance Reporting Checklist

Attachment 3

classified information, information subject to export control classification, or other information not subject to release.

3. Technical Report(s)

Submit to:	DOE Energy Link System (E-Link) available at https://www.osti.gov/elink/2413-submission.jsp
Submission deadline:	Within five (5) calendar days after the event, or as specified

The recipient must submit a copy of any scientific/technical reports.

Content: The content should include a copy of the report as well as an acknowledgement of federal support and a legal disclaimer as described in the Special Terms and Conditions.

Electronic Submission Process: Scientific/technical reports must be submitted via the DOE Energy Link System (E-Link) with a completed DOE Announcement Notice (AN) 241.3 (<https://www.osti.gov/elink/2413-submission.jsp>).

The recipient is responsible for ensuring the suitability of the content for public release. The terms and conditions of award provide that submissions must not contain any Protected Personally Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

4. Software & Manual(s)

Submit to:	DOE CODE: https://www.osti.gov/doecode/
Submission deadline:	Within five (5) calendar days after the event, or as specified

The recipient must submit all software deliverables created under the award, as well as any accompanying documentation or manuals.

DOE CODE is DOE’s software services platform for submitting and searching for software resulting from DOE-funded research. Through submission to DOE CODE, users have the option to obtain a Digital Object Identifier (DOI) for the code, making it more easily discoverable, citable, and shared.

Content. When a recipient submits software to OSTI through DOE CODE, a set of required metadata elements and a link to the software repository must be provided.



Federal Assistance Reporting Checklist

Attachment 3

Submission Process. Recipients will submit software by going to <https://www.osti.gov/doecode/>. Before submissions can be made, the recipient will be required to create an account. The recipient may create an account by visiting the top right of the DOE CODE homepage. Once the account is created, submissions may be made through the submit software/code link on the homepage. For more information about DOE CODE please visit <https://www.osti.gov/doecode/faq>.

5. Dataset(s)

Submit to:	DOE Energy Link System (E-Link) available at https://www.osti.gov/mlink/241-6-submission.jsp
Submission deadline:	Within five (5) calendar days after the event, or as specified

Scientific/technical datasets (data-streams, data files, etc.) support the technical reports and published literature resulting from DOE-funded research. They are also recognized as valuable information entities in their own right that, now and in the future, need to be available for citation, discovery, retrieval, and reuse. The assignment and registration of a Digital Object Identifier (DOI) is a free service for DOE-funded researchers which is provided by OSTI to enhance access to this important resource. In order to obtain a DOI, provide to OSTI the specific data elements relevant to the dataset, as specified in DOE AN 241.6.

Content. If the recipient generates publicly available datasets resulting from work funded by DOE, they may announce these datasets to OSTI and have them registered with DataCite to obtain a DOI, which ensures long-term linkage between the DOI and the dataset’s location. To register and publicly announce a dataset, the recipient must provide an AN 241.6, including the required data elements needed for describing the dataset. Note: Do NOT submit the dataset itself, only the metadata for registering the dataset, obtaining a DOI, and announcing its availability.

Electronic Submission Process. Notification of scientific datasets must be submitted electronically via the DOE Energy Link System (E-Link) and must be accompanied by a completed DOE Announcement Notice (AN) 241.6 (<https://www.osti.gov/mlink/241-6-submission.jsp>). Within the AN 241.6, provide relevant information about the dataset as well as the URL where the dataset can be accessed.

6. Other STI (Dissertation / Thesis, etc.)

Submit to:	https://www.osti.gov/mlink/2413-submission.jsp
Submission deadline:	Within five (5) calendar days after the event, or as specified



Federal Assistance Reporting Checklist

Attachment 3

Recipients are encouraged to announce other forms of STI especially if they are the primary means by which certain research results are disseminated or if they contain research results not already announced to DOE by the recipient in technical reports, accepted journal articles, conference products, software, and datasets.

Other types of scientific and technical information produced which may be used for public dissemination of project results include: dissertation/thesis, patent, book, or other similar products. These types of STI may also be announced using DOE AN 241.3 by following instructions on the E-Link website (<https://www.osti.gov/mlink/2413-submission.jsp>).

E. Intellectual Property Reporting

1. Intellectual Property Reporting

Submit to:	https://www.nist.gov/iedison
Submission deadline:	Within five (5) calendar days after the event, or as specified

iEdison requires a login and password. If the recipient’s organization does not already have an iEdison administrator account, the recipient may register for one at: [iEdison Registration](#).

In accordance with the patent rights clause of the award, the recipient and subrecipient(s), if any, must complete the following intellectual property reports in iEdison when applicable:

Disclosing a subject invention, including anticipated uses and sales (use iEdison’s Invention Report);

Reporting publications, manuscript submissions, or other public disclosures concerning a subject invention (add documents to the Invention Report);

If authorized by the award agreement, electing (or declining) to retain title to a subject invention (modify the Invention Report and input “Title Election Date” or “Not Elect Title Reason”);

Disclosing the filing or termination of patent applications on a subject invention (i.e., patent applications disclosing or claiming a subject invention). Patent disclosures must be made (using iEdison’s Patent Report) for filing the following patent applications:

- An initial domestic patent application (including provisional or non-provisional);
- A domestic divisional or continuation patent application;



Federal Assistance Reporting Checklist

Attachment 3

- A domestic continuation-in-part application; and
- A foreign patent application.

Discontinuing prosecution of a patent application, maintenance of a patent, or defense in a patent reexamination or opposition proceeding, regardless of jurisdiction (modify the Patent Report); and,

Requesting an extension of time to:

- Elect (or decline) to retain title to a subject invention (modify the Invention Report); and
- File an initial domestic or foreign patent application (modify the Invention Report).

Failure to submit Intellectual Property Reporting Forms in a timely manner may result in forfeiture of the recipient’s or subrecipient’s rights in the subject inventions and related patent applications.

2. Invention Utilization Report

Submit to:	https://www.nist.gov/iedison
Submission deadline:	For each subject invention, reports are due annually once the recipient or subrecipient elects to retain title to the subject invention and must continue to be provided for 10 years thereafter

The recipient and subrecipient(s) must provide Invention Utilization Reports for each subject invention that the recipient or subrecipient retains ownership. Reports are due annually starting one year after the recipient or subrecipient elects to take title and must continue to be provided for 10 years thereafter or until the recipient or subrecipient informs DOE in writing that it no longer wants to retain title in the subject invention. Failure to submit Invention Utilization Reports in a timely manner may result in forfeiture of the recipient’s or subrecipient’s rights in the subject inventions.

F. Project Management Plan (PMP)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within six (6) weeks of the effective date of the award

Iterations and Maintenance

The recipient is required to develop, update, and adhere to a project management plan. The purpose of the plan is to establish cost, schedule, and technical performance baselines, and to formalize the processes by which the project will be managed. These processes include considerations such as risk management, change management, and communications



Federal Assistance Reporting Checklist

Attachment 3

management. While it is primarily the project recipient's responsibility to maintain the plan, federal staff may request changes. The plan is intended to be a living document, modified as necessary, and comprising the following iterations:

Application Draft

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

Negotiation Draft

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

Active Plan

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

1. Revised Plan(s)

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

- a. Developments that have a significant favorable impact on the project.
- b. Problems, delays, or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require the program office to respond to questions relating to such events from the public. Specifically, the recipient must update the plan when any of the following incidents occur:
 - i. Any event which is anticipated to cause significant schedule or cost changes, such as changes to the funding and costing profile or changes to the project timeline.
 - ii. Any change to Technology Readiness Level.
 - iii. Any significant change to risk events (including both potential and realized events) or to risk management strategies.
 - iv. Failure to meet a milestone or milestones; any dependencies should be adjusted.
 - v. Any changes to partnerships.
 - vi. Any significant change to facilities or other project resources.
 - vii. Any other incident that has the potential for high visibility in the media.

2. Content of revised PMP

Project Title: The DOE award number and project title



Federal Assistance Reporting Checklist

Attachment 3

Recipient Organization: Official name of the recipient organization

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

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

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

a. Executive Summary:

Provide a description of the project that includes the objective, project goals, and expected results. The description should include a high-level description of the technology, potential use or benefit of the technology, location of work sites and a brief discussion of work performed at each site, along with a description of project phases (if the project includes phases).

b. Technology Readiness Levels (TRLs):

Identify the readiness level of the technology associated with the project as well as the planned progression during project execution. A detailed explanation of the rationale for the estimated technology readiness level should be provided. Specific entry criteria for the next higher technology readiness level should be identified.

c. Risk Management:

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

d. Milestone Log:

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



Federal Assistance Reporting Checklist

Attachment 3

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

- The actual status and progress of the project,
- Specific progress made toward achieving the project's milestones, and
- Any proposed changes in the project's schedule required to complete milestones.

e. Funding and Costing Profile:

Provide a table (the Project Funding Profile) that shows, by budget period, the amount of government funding going to each project team member. Also, a table (the Project Costing Profile) which projects, by month, the expenditure of both government and recipient funds for the first budget period, at a minimum. The Funding and Costing Profile should show the relationships with the Milestone Log (Item d above) and Project Timeline (Item f below); for example, Funding and Costing information could be shown as an overlay on milestone or timeline charts.

f. Project Timeline:

Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline should include a start date and end date for each task, as well as interim milestones. The timeline should also show interdependencies between tasks and include the milestones that are identified in the Milestone Log (Item d above). The timeline should also show the relationship to the Project Costing Profile (Item e above). If applicable, the timeline should include activities and milestones related to achieving succeeding TRLs.

g. Success Criteria at Decision Points:

Provide well-defined success criteria for each decision point in the project, including go/no-go decision points and the conclusions of budget periods and the entire project. The success criteria should be objective and stated in terms of specific, measurable, and repeatable data. Usually, the success criteria pertain to desirable outcomes, results, and observations from the project. Key milestones can be associated with success criteria. If applicable, the success criteria should include exit criteria for progressing from one TRL to the next.

h. Key Partnerships, Teaming Arrangements and Team Members:

Provide a list of key team members in the project as well as the role and contact information of each. A hierarchical project organization and structure chart should be provided along with a description of the role and responsibilities of each team member in terms of contribution to project scope. The section should also include key team members who fulfill single or multiple roles within a project as well as the contact information for each.



Federal Assistance Reporting Checklist

Attachment 3

i. Facilities and Resources:

Provide a list of project locations along with a discussion of capabilities and activities performed at each site in terms of contribution to project scope. The address of each work site should be provided.

j. Communications Management:

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

k. Change Management:

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

G. Special Status Reports

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within five (5) calendar days after the event, or as specified

Problems, delays, or adverse conditions which materially impair the recipient’s ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition.

Within forty-eight (48) hours, provide notification to the DOE Program/Project Manager by email, with a copy to the DOE Award Contracting Officer/Grants and Agreements Officer, the following events:

1. Any fatality, injury, or illness that results in loss of consciousness or requires medical treatment beyond first aid involving an employee, or member of the public.
2. An imminent or actual environmental contamination or the need for environmental cleanup (including, but not limited to, contamination or cleanup resulting from an accident connected to or arising from the presence, leakage or spill of hazardous materials) in accordance with National Environmental Policy Act 42 USC §§4321, et seq. Examples of due care may include, but are not limited to, visual site inspection of any portions of the property where environmental contamination is likely or suspected, or other reasonable measures. Such notice must be made to DOE



Federal Assistance Reporting Checklist

Attachment 3

- following any immediate mitigation efforts, as appropriate, and contacts made to requisite agencies.
3. Actual physical property damage in excess of \$50,000.

Within 48 hours, the recipient is responsible for reporting cybersecurity incident(s) as follows

4. The recipient is responsible for identifying a cybersecurity incident. In general, a cybersecurity incidents is identified as any incident that may cause financial harm or loss of intellectual property created or supported in performance of the award, including malware and ransomware attacks; affecting operations or the security of, or access to, data, including disruption of both physical operations and business operations for a duration greater than one (1) hour or any Cybersecurity incidents that have national security implications.

Once identified, the Recipient is responsible for reporting Cybersecurity incidents to the [Cyber Incident mailbox](#) within 48 hours of the incident. The recipient sends a password protected document via email attachment that includes the date and time of the incident, a high-level description of the incident, a summary of the known impacts, and current and planned mitigation activities. The recipient sends a second email to the [Cyber Incident mailbox](#) including the password to the protected document.

The prime recipient is required to report the following events to the DOE Program/Project Manager by email, with a copy to the DOE Award Contracting Officer/Grants and Agreements Officer, within 5 business days:

5. If the recipient or project team member receives any other award of federal funds for activities that potentially overlap with the activities funded under the DOE award, the recipient must promptly notify DOE in writing of the potential overlap and state whether project funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items under the DOE award;
6. Any change in ownership or control of the recipient or project team member which increases the percentage of ownership or control by an entity that is based in, funded by, or has a foreign affiliation with a foreign country of risk;
7. If an individual on the project team is or is believed to be participating in a foreign government-sponsored talent recruitment program of a foreign country of risk.
8. If the recipient is considering new collaborations with foreign entities and governments, the recipient must provide written notification to DOE and await further guidance from DOE prior to contacting the proposed foreign entity or government regarding the potential collaboration or negotiating the terms of any potential agreement. In general, a collaboration will involve some provision of a thing of value to, or from, the recipient. A thing of value includes but may not be limited to all resources made available to, or from, the recipient in support of and/or



Federal Assistance Reporting Checklist

Attachment 3

- related to the DOE award, regardless of whether or not they have monetary value. Things of value also may include in-kind contributions (such as office/laboratory space, data, equipment, supplies, employees, students). In-kind contributions not intended for direct use on the DOE award but resulting in provision of a thing of value from or to the DOE award must also be reported.
9. The existence of any joint venture or subsidiary that is based in, funded by, or has a foreign affiliation with any foreign country of risk;
 10. Any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an enterprise owned by a country of risk or foreign entity based in a country of risk;
 11. Any current or pending venture capital or institutional investment by an entity that has a general partner or individual holding a leadership role in such entity who has a foreign affiliation with any foreign country of risk;
 12. Any current or pending technology licensing or intellectual property sales to a foreign country of risk; and
 13. Any current or pending foreign business entity, offshore entity, or entity outside the United States related to the Recipient or subrecipient.
 14. Potential or actual violations of environmental, health, or safety laws and regulations, any significant environmental permit violation, and any incident which causes a significant process or hazard control system failure;
 15. Any incident arising out of or relating to work under the award that has the potential for high visibility in the media;
 16. Potential or actual violations of federal, state, and municipal laws arising out of or relating to work under the award;
 17. Potential or actual noncompliance with DOE reporting requirements under the award;
 18. Potential or actual bankruptcy/insolvency of the prime recipient or subrecipient;
 19. Potential or actual violation of U.S. export control laws and regulations arising out of or relating to the work under the award;
 20. Any notices or claims of patent or copyright infringement arising out of or relating to the performance of the DOE award;
 21. Refusal of a subrecipient to accept flow down requirements in the Special Terms and Conditions and/or any Attachment to the DOE award;
 22. Any improper claims or excess payments arising out of or relating to work under the award;
 23. Potential or actual violations of the cost share requirements under the award;
 24. Potential or actual violations of the lobbying restrictions in the award;
 25. Any event which is anticipated to cause a significant schedule slippage or cost increase; and
 26. Developments that have a significant favorable impact on the project.



Federal Assistance Reporting Checklist

Attachment 3

H. Continuation Application

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within five (5) calendar days after the event, or as specified

A continuation application is a non-competitive application for an additional budget period within a previously approved period of performance. The continuation application should be submitted at least ninety (90) calendar days before the end of each budget period, or as specified in the Special Terms and Conditions of the award.

I. Other Project Management Reporting (see Special Instructions)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within five (5) calendar days after the event, or as specified

II. Award Management Reporting

A. Current and Pending Support

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within thirty (30) calendar days only when there is a change to Current and Pending Support (i.e., new PI or senior/key personnel join the project or there are changes to previously submitted current and pending disclosures for this Award)

Applicable for all awards issued after 10/01/2021. For awards issued prior to 10/01/21, refer to your award terms and conditions for applicability.

Prior to award, the Recipient was required to provide current and pending support disclosure statements for each principal investigator (PI) and senior/key personnel, at the recipient and subrecipient level, regardless of funding source. Throughout the life of the award, the Recipient must submit current and pending support disclosure statements and a CV or Biosketch for any new PI and senior/key personnel at the recipient and subrecipient level, added to the project funded under this Award within thirty (30) days of the individual joining the project. In addition, if there are any changes to current and pending support disclosure statements previously submitted to DOE, the Recipient must submit updated current and pending disclosure statements within thirty (30) days of the change. The Recipient must ensure all PIs and senior/key personnel at the recipient and subrecipient level, are aware of the requirement to submit updated current and pending support disclosure statements to DOE.



Federal Assistance Reporting Checklist

Attachment 3

If there has been a change that would prompt the submission of a new or updated current and pending support disclosure, the instructions to complete the new or updated disclosure is listed below.

Current and pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. All PIs and senior/key personnel at the recipient and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support.

For every activity, list the following items:

- The sponsor of the activity or the source of funding.
- The award or other identifying number.
- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
- The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding.
- The award period (start date – end date).
- The person-months of effort per year being dedicated to the award or activity.
- Identify any overlap, duplication of effort, or synergistic efforts, with a description of the other award or activity to the current and pending support.
- Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided to DOE.

All PIs and senior/key personnel must provide a separate disclosure statement listing the required information above regarding current and pending support. The individual must sign and date their respective disclosure statement and include the following certification statement:

I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding



Federal Assistance Reporting Checklist

Attachment 3

decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

The information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_cps.pdf. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats. If the NSF format is used, the individual must still include a signature, date, and a certification statement using the language included in the paragraph above.

B. Demographic Reporting

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 30 days after issuance of award

DEMOGRAPHIC INFORMATION FOR SIGNIFICANT CONTRIBUTORS

Demographic data (i.e., gender, ethnicity, race, and disability status) should be provided directly by the Principal Investigator and Business Contact with the understanding that the submission of this report is mandatory for awards made after 03/01/2022. There are no adverse consequences for responding “Do not wish to provide” in any question. Principal Investigators and Business Contacts of awards made prior to 03/01/2022 are encouraged, but not required, to submit demographic reporting. Confidentiality of demographic data will be in accordance with agency’s policy and practices for complying with the requirements of the Privacy Act. Demographic Reporting is submitted via a web-based form in the EERE PMC and includes the questions outlined below.

Gender:

- Male
- Female
- Do not wish to provide

Ethnicity:

- Hispanic or Latina/o
- Not-Hispanic or not-Latina/o
- Do not wish to provide



Federal Assistance Reporting Checklist

Attachment 3

Race (select one or more):

- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or other Pacific Islander
- White
- Do not wish to provide

Disability Status:

- Yes (check yes if any of the following apply to you)
 - Deaf or serious difficulty hearing
 - Blind or serious difficulty seeing even when wearing glasses
 - Serious difficulty walking or climbing stairs
 - Other serious disability related to a physical, mental, or emotional condition.
- No
- Do not wish to provide

This measure is designed as a binary measure; it encompasses all self-reported disabilities. Please do not use it to report the number of individuals who have different types of disabilities (e.g., hearing impairments).

Note: This construct is not designed to be used at an individual-level (i.e., it should not be used for determining accommodation needs or disability status for particular individuals associated with the project).

C. Financial Conflict of Interest Report

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 180 days of the date of the award and within thirty (30) calendar days only when there is a change

Prior to award, the Recipient was required to: 1) ensure all Investigators on this Award completed their significant financial disclosures; 2) review the disclosures; 3) determine whether a FCOI exists; 4) develop and implement a management plan for FCOIs; and 5) provide DOE with an initial FCOI report that includes all FCOIs (i.e., managed and unmanaged/unmanageable). Within 180 days of the date of the Award, the Recipient must be in full compliance with the other requirements set forth in DOE’s interim COI Policy <https://www.energy.gov/management/department-energy-interim-conflict-interest-policy-requirements-financial-assistance>. Further, the recipient must submit updated reports within 30 days of a change.



Federal Assistance Reporting Checklist

Attachment 3

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy) is applicable to all non-Federal entities applying for, or that receive, DOE funding by means of a financial assistance award (e.g., a grant, cooperative agreement, or technology investment agreement) and, through the implementation of this policy by the entity, to each Investigator who is planning to participate in, or is participating in, the project funded wholly or in part under this Award. The term “Investigator” means the PI and any other person, regardless of title or position, who is responsible for the purpose, design, conduct, or reporting of a project funded by DOE or proposed for funding by DOE. The Recipient must flow down the requirements of the interim COI Policy to any subrecipient non-Federal entities, with the exception of DOE National Laboratories. Further, the Recipient must identify all financial conflicts of interests (FCOI), i.e., managed and unmanaged/unmanageable, in its initial and ongoing FCOI reports.

D. Tangible Personal Property Report – Annual Property Report (SF-428 & SF-428A)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 90 calendar days after the end of the annual reporting period

The prime recipient must submit an annual inventory of federally-owned property (government-furnished) where the award specifies that title to the property vests with the federal government, whether it is in the possession of the prime recipient or subrecipient(s). The prime recipient must complete an SF-428 and SF-428A, available at <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html> or <https://www.netl.doe.gov/business/business-forms/financial-assistance>.

E. Tangible Personal Property Report – Disposition Request/Report (SF-428 & SF-428C)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 5 calendar days of the event or as specified

The prime recipient must request disposition instructions for or report disposition of federally-owned property or equipment acquired with project funds, whether the property or equipment is/was in the possession of the prime recipient or subrecipient(s). Recipients may also be required to provide compensation to the awarding agency when acquired equipment is sold or retained for use on activities not sponsored by the federal government. Any equipment with an acquisition cost above \$5,000 must be included in the inventory.

If disposition occurs at any time other than award closeout (i.e., at any time throughout the life of the project or after project completion and closeout as long as the federal government retains an interest in the item), the prime recipient must complete an SF-428



Federal Assistance Reporting Checklist

Attachment 3

and SF-428C, available at <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html> or <https://www.netl.doe.gov/business/business-forms/financial-assistance>.

If disposition instructions are requested at the time of award closeout, the prime recipient must submit the SF-428 and SF-428B (see section III. C. Tangible Personal Property Report – Final Report).

Only the DOE Contracting Officer has authority to approve disposition requests and issue disposition instructions.

F. Uniform Commercial Code (UCC) Financing Statements

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within five (5) calendar days after the event, or as specified.

If a for-profit recipient or subrecipient desires to purchase a piece of equipment for their project, and the per-unit dollar value of said equipment is \$5,000 or more, and the federal share of the financial assistance agreement is more than \$1M, the recipient or subrecipient must file a UCC financing statement. These financing statement(s) must be approved in writing by the Contracting Officer prior to the recording.

A UCC financing statement provides public notice that the federal government has an undivided reversionary interest in the equipment, and as such the equipment cannot be sold or used as collateral for a loan (encumbered).

The for-profit recipient or subrecipient must file the UCC financing statement(s) with the Secretary of State where the equipment will be physically located and must pay any associated costs for such filings.

The initial UCC financing statement may also be referred to as a UCC1. For additional pieces of equipment not specified in the award budget, TBD equipment, or equipment needed in future budget periods, the recipient can file an amendment to the original UCC1 financing statement, by submitting the UCC3 financing statement amendment.

Each UCC financing statement or amendment is to be filed with the appropriate Secretary of State office, where the equipment will be physically located.

Note: All costs associated with filing UCC financing statements, UCC financing statement amendments, and UCC financing statement terminations, are allowable and allocable costs which can be charged to the federal award.



Federal Assistance Reporting Checklist

Attachment 3

At a minimum, the recipient must have stated in their UCC financing statement in block 4. (collateral) the following:

- “Title to all equipment (not real property) purchased with federal funds under this financial assistance agreement is conditional pursuant to the terms of 2 CFR 910.360, and the federal government retains an undivided reversionary interest in the equipment at the federal cost-share proportion specified in the award terms and conditions.”
- Federal Award Identification Number (e.g., DE-EE000XXXX)

G. Federal Subaward Reporting System (FSRS)

Submit to:	https://www.fsrs.gov/
Submission deadline:	The prime recipient is required to file a FFATA sub-award report by the end of the month following the month in which the prime recipient awards any sub-grant greater than or equal to \$30,000.

The Federal Subaward Reporting System (FSRS) is the reporting tool prime recipients use to capture and report subaward and executive compensation data regarding their first-tier subrecipients to meet the FFATA reporting requirements. Prime recipients will report against subrecipients’ awards. The subrecipient information entered in FSRS will then be displayed on USASpending.gov associated with the prime recipient’s award furthering federal spending transparency.

The prime recipient is required to file a FFATA sub-award report by the end of the month following the month in which the prime recipient awards any sub-award greater than or equal to \$30,000.

H. Annual Incurred Cost Proposals

Submit to:	<p>If DOE is the Cognizant Federal Agency, send the Annual Incurred Cost Proposal to one of the following offices:</p> <ul style="list-style-type: none"> • CostPrice@ee.doe.gov (if the Golden Field Office is Cognizant); OR • IndirectRates@hq.doe.gov (if OCED is Cognizant) • FITS@netl.doe.gov and PricingGroup@netl.doe.gov (if NETL is Cognizant) <p>Otherwise, submit the proposal to the Recipient’s appropriate Cognizant Federal Agency office.</p>
Submission deadline:	<p>Within 180 calendar days after the close of the recipient’s fiscal year*</p> <p>*The end of the period of the performance, or closure of an award, does not dismiss this reporting requirement.</p>



Federal Assistance Reporting Checklist

Attachment 3

Prime recipients must submit a certified annual Incurred Cost Proposal (ICP), reconciled to its financial records, in order to finalize and reconcile billing rates incurred and billed to the Government.

An ICP submission is required unless one of the following conditions apply to the DOE award:

- Recipient elected to apply the 10% de minimis rate as allowed under 2 CFR 200.414(f);
- Recipient proposed fringe benefits **only**; or
- Recipient has a pre-determined Negotiated Indirect Cost Rate Agreement (NICRA).

Recipients are strongly encouraged to self-assess their ICP using the Defense Contract Audit Agency’s (DCAA) ICP Adequacy Checklist to ensure an adequate submission. The ICP must be reconciled to the recipient’s financial statements, within 180 calendar days after the close of the recipient’s fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs. The Contracting Officer for Indirect Cost Rates may grant, in writing, reasonable extensions for exceptional circumstances only. The written request for extension should be sent to the cognizant DOE office email address. The format and content of the incurred cost proposal should follow the DCAA ICE (Incurred Cost Electronically) Model in order to be considered an adequate proposal. DCAA’s ICE Model and Adequacy Checklist can be found on the DCAA website at: <https://www.dcaa.mil/Home/ICEmodel> and <https://www.dcaa.mil/Home/ICSubmissionAdequacy>.

I. Fringe Reconciliation Form

Submit to:	FITS@netl.doe.gov
Submission deadline:	Within 180 calendar days after the close of the recipient’s fiscal year* *The end of the period of the performance, or closure of an award, does not dismiss this reporting requirement.

Prime recipients must submit a certified annual Fringe Reconciliation Form, reconciled to its financial records, to finalize and reconcile fringe billing rates incurred and billed to the Government.

A Fringe Reconciliation Form submission is required when one of the following circumstances apply to the DOE award:

- Recipient elected to apply the 10% de minimis rate as allowed under 2 CFR 200.414(f) **and** proposed fringe; or
- Recipient proposed fringe benefits **only**.

The Fringe Reconciliation Form must be reconciled to the recipient’s financial statements, within 180 calendar days after the close of the recipient’s fiscal year. The Contracting Officer for Fringe Costs may grant, in writing, reasonable extensions for exceptional



Federal Assistance Reporting Checklist

Attachment 3

circumstances only. The written request for extension should be sent to PricingGroup@netl.doe.gov. To be considered an adequate submission, Recipients must use the Fringe Reconciliation Form located at: [Fringe Reconciliation Form](#). The Fringe Reconciliation Form must be sent to FITS@NETL.DOE.GOV.

J. DOE For-Profit Compliance Audit

Submit to:	Email a copy of the annual DOE For-Profit Compliance Audit to: <ul style="list-style-type: none"> • DOE-Audit-Submission@hq.doe.gov and • The DOE Contracting Officer • For awards administered by OCED, also email a copy to RecipientAudits@hq.doe.gov • For awards administered by the DOE NETL Office, also email a copy to PricingGroup@netl.doe.gov and FITS@netl.doe.gov
Submission deadline:	Within the earlier of 30 days after receipt of the auditor’s report(s) or 9 months after the end of the audit period (recipient’s fiscal year-end)* *The end of the period of the performance, or closure of an award, does not dismiss this reporting requirement.

As required by 2 CFR 910, Subpart F, a For-Profit entity which expends \$750,000 or more during the non-federal entity’s fiscal year in DOE awards must have a compliance audit conducted for that year.

The DOE For-Profit Compliance Audit must be conducted in accordance with the regulations at 2 CFR 910.500-521 and must refer to the appropriate regulations used by the auditor in their examination.

The compliance audit report must be submitted, along with audited financial statements, if required and available.

K. Single Audit: States, Local Government, Tribal Governments, Institution of Higher Education (IHE), or Non-Profit Organization

Submit to:	Federal Audit Clearinghouse - https://harvester.census.gov/facweb/Default.aspx
Submission deadline:	Within the earlier of 30 days after receipt of the auditor’s report(s) or 9 months after the end of the audit period (recipient’s fiscal year-end)* *The end of the period of the performance, or closure of an award, does not dismiss this reporting requirement.

As required by 2 CFR 200 Subpart F, non-federal entities that expend \$750,000 or more during the non-federal entity's fiscal year in federal awards must have a single or program-



Federal Assistance Reporting Checklist

Attachment 3

specific audit conducted. The single audit must be conducted in accordance with §200.514 Scope of audit, except when it elects to have a program-specific audit conducted.

For most single audits, the requirement is for annual single audits. However, there are occasions where a single audit is not required annually. Per 2 CFR 200.504 - Frequency of audits, a state, local government, or Indian tribe that is required by constitution or statute to undergo its audits less frequently than annually, is permitted to undergo its audits biennially. Also, any nonprofit organization that had biennial audits for all biennial periods ending between July 1, 1992, and January 1, 1995, is permitted to undergo its single audits biennially.

For a program-specific audit, when a recipient expends federal award funds under only one federal program (excluding R&D) and the federal program's statutes, regulations, or the terms and conditions of the federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted. A program-specific audit may not be elected for R&D unless all of the federal awards expended were received from the same federal agency, or the same federal agency and the same pass-through entity, and that federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.

The single audit report shall include audited financial statements.

L. Other Award Management Reporting (see Special Instructions)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within five (5) calendar days after the event, or as specified

III. Closeout Reporting

A. Final Scientific/Technical Report

Submit to:	DOE Energy Link System (E-Link) available at https://www.osti.gov/elink/2413-submission.jsp
Submission deadline:	Within 120 calendar days after expiration or termination of the award

The prime recipient must submit a Final Scientific/Technical Report to DOE for all projects.

The scientific/technical report is intended to increase the diffusion of knowledge gained by DOE-funded research, and all requirements shall be interpreted in that light.



Federal Assistance Reporting Checklist

Attachment 3

Content: Research findings and other significant scientific and technical information (STI) resulting from the DOE-sponsored projects shall be included in the final scientific/technical report, subject to the following provisions:

1. The scientific/technical report is to cover the entire period of performance. For Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards, a final scientific/technical report must be submitted after the completion of each phase, e.g., Phase I, Phase II, and sequential Phase II, as described in the Special Instructions.
2. STI that is publicly accessible need not be duplicated in the report if a citation with a link to where the information may be found is included in the report. For example, articles found in PAGES (i.e., DOE's Public Access Gateway for Energy and Science, <https://www.osti.gov/pages/>) are accessible to the public.
3. Provide identifying information: the DOE award number; sponsoring program office; name of recipient; project title; name of project director/principal investigator; and consortium/team members.
4. Include the DOE acknowledgement and legal disclaimer language as described in the Special Terms and Conditions.
5. Include any limitations on public release of the report, if authorized by the award agreement. If the document being submitted contains patentable material or protected data (i.e., data first produced in the performance of the award that is protected from public release for a period of time by terms of the award agreement) as set forth in the award agreement, then (1) prominently display on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data and (2) clearly identify patentable or protected data on each page of the report. Reports delivered without such notices or with restrictive notices not authorized by the award agreement may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports. Any restrictive markings must also be noted in the distribution limitation section of the Announcement Notice (AN) 241.3. No protected PII should be included.
6. Provide an abstract or executive summary, which should be a minimum of one paragraph and written in terms understandable by an educated layperson. (Refer to <https://www.osti.gov/stip/standards> for ANSI/NISO guidance as needed.) The abstract included in an application may serve as a model for this.
7. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, and findings. Include, if applicable, facts, figures,



Federal Assistance Reporting Checklist

Attachment 3

- analyses, and assumptions used during the life of the project to support the results in a manner that conveys to the scientific community the STI created during the project. To minimize duplication, the report may reference STI, including journal articles, that is publicly accessible. See also #2.
8. For guidance offered by the National Information Standards Organization on typical attributes and content of a technical report, if needed, refer to ANSI/NISO Z39.18-2005 (R2010), *Scientific and Technical Reports – Preparation, Presentation, and Preservation* (see <https://www.osti.gov/stip/standards>).

Electronic Submission Process: The final scientific/technical report must be submitted via the DOE Energy Link System (E-Link) with a completed electronic version of DOE Announcement Notice (AN) 241.3, “U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI).” The recipient can complete, upload, and submit the DOE AN 241.3 online via E-Link (<https://www.osti.gov/elink/2413-submission.jsp>). Please refer to <https://www.osti.gov/stip/best-practices-portable-document-format-pdf-creation> for PDF document creation.

The recipient must mark the appropriate block in the “Intellectual Property/Distribution Limitations” Section of the DOE AN 241.3. Reports that are electronically uploaded must not contain any limited rights data (proprietary data), classified information, protected PII, information subject to export control classification, or other information not subject to release. During the upload process, the recipient must self-certify that no content of this nature is being submitted. For assistance with reports containing such content, contact the Contracting Officer.

Company Names and Logos -- Except as indicated elsewhere, company names, logos, or similar material should not be incorporated into reports.

Copyrighted Material -- Copyrighted material should not be submitted as part of a report unless written authorization to use such material is received from the copyright owner and is submitted to DOE with the report.

1. Final Technical Reports – Unlimited

If the award does **NOT** authorize the recipient, under the provisions of the Energy Policy Act of 2005, to protect the data produced during the award, where public release of the technical report is protected for a limited period-of-time, the technical report must be submitted to E-Link as a “Final Technical Report” (covering the entire project period of performance) and must not have any data protection markings on the cover page. The “STI Product Type” of “Technical Report” with the “Report Sub Type” of “Final Technical Report” must be selected. When submitting the final technical report to E-Link, the recipient must select “unlimited” from the Intellectual Property/Distribution Limitation



Federal Assistance Reporting Checklist

Attachment 3

selections. The final technical report will be released without any protections and may become publicly available immediately.

2. Final Technical Reports – Protected Data.

If the award authorizes the recipient, under the provisions of the Energy Policy Act of 2005, to protect the data produced during the course of the award, where public release of the final technical report is protected for a limited period-of-time, and the recipient elects to protect the report, the recipient will be required to 1) submit a final technical report with the protected data (which will be protected during the identified data protection period) and 2) a version of the technical report that can be publicly disseminated immediately.

For the protected data version of the final technical report, the report must cover the entire project period of performance, include the proper data protection marking (included in the terms of the award), and place that marking on the cover page of the final technical report before submitting it to E-Link. The “STI Product Type” of “Technical Report” with the “Report Sub Type” of “Final Technical Report” must be selected. The recipient must also select the block in the Intellectual Property/Distribution Limitation section of the DOE AN 241.3 as “Protected Data” and provide a release date for the technical report when submitting the final technical report.

The release date is the date the technical report will become publicly available. The release date must be based on the data protection period authorized by the award. The release date must coincide with the data marking on the technical report.

Additionally, the Department’s policy is to ensure timely public access to unrestricted scientific and technical research results. To make these results publicly accessible, even when the award authorizes the recipient to protect the data for a period-of-time, the recipient must also submit an “unlimited” version of the technical report. This version should not include any data subject to data protections. The “unlimited” version of the technical report must be uploaded to E-Link without any markings. The “STI Product Type” of “Technical Report” with the “Report Sub Type” of “Technical Report Other” must be selected. The recipient must select “unlimited” from the Intellectual Property/Distribution Limitation selections. The “unlimited” version of the technical report is submitted with unlimited data rights, and the Government assumes no liability for the disclosure, use or reproduction of such report.



Federal Assistance Reporting Checklist

Attachment 3

B. Invention Certification (DOE F 2050.11)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 120 calendar days after expiration or termination of the award

The prime recipient is required to submit an Invention Certification DOE F 2050.11. The Invention Certification form is available at <https://www.netl.doe.gov/business/business-forms/financial-assistance>.

The Invention Certification must include a list of all subcontracts at any tier containing a patent rights clause (or state that there were none).

C. Tangible Personal Property Report – Final Report (SF-428 & SF-428B)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 120 calendar days after expiration or termination of the award

The prime recipient must submit a final inventory of and request disposition instructions for any federally-owned property and/or property or equipment acquired with project funds with an acquisition cost above \$5,000, whether the property is/was in the possession of the prime recipient or subrecipients.

The prime recipient must complete an SF-428 and SF-428B, available at <https://www.netl.doe.gov/business/business-forms> or <https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html>.

If disposition occurs at any time other than award closeout, the prime recipient must complete an SF-428 and SF-428C (see section II. E. Tangible Personal Property Report – Disposition Request/Report).

Only the DOE Contracting Officer has authority to approve disposition requests and issue disposition instructions.

D. Verification of Receipt of Accepted Manuscripts

Recipients are required to submit Accepted Manuscripts of Journal Articles resulting in whole or in part from a DOE-funded project to E-Link (see section I. D. 1. Accepted Manuscript of Journal Article).



Federal Assistance Reporting Checklist

Attachment 3

As part of the closeout process, DOE will verify that all accepted manuscripts have been submitted. Recipients are required to submit all missing accepted manuscript before closeout is finalized.

E. Other Closeout Reporting (see Special Instructions)

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Within 120 calendar days after expiration or termination of the award

IV. Post-Project Reporting

A. Scientific and Technical Reporting

Scientific and Technical Reporting requirements as outlined in [I. D. Scientific and Technical Reporting](#) remain applicable after the award ends. If the recipient has created Scientific and Technical Information (STI) such as publications, conference products, technical reports, book chapters, etc. which include information/data produced under the award, they are required to submit this document to <https://www.osti.gov/elink/forms.jsp>. Recipients must continue to include proper DOE Acknowledgement and Legal Disclaimer language in all STI. Please see section [I. D. Scientific and Technical Reporting](#) for additional information on submissions.

Note that after the project ends, recipients are no longer required to submit notification of STI directly to DOE.

B. Intellectual Property Reporting

Intellectual Property Reporting requirements as outlined in section [I. E. Intellectual Property Reporting](#) remain applicable after the award ends.

Recipients are required to continue submitting intellectual property reports, as applicable, to iEdison at <https://www.nist.gov/iedison>.

Note that after the project ends, recipients are no longer required to submit notification of intellectual property directly to DOE.



Federal Assistance Reporting Checklist

Attachment 3

V. Bipartisan Infrastructure Law/Inflation Reduction Act Reporting

A. Community Benefits Report

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Yearly; within 90 calendar days after the end of the federal fiscal year or termination of the award.

The Recipient must meet the stated objectives and milestones set forth in its Community Benefits Outcomes and Objectives, which is incorporated into the Award. A report on the Recipient’s progress towards meeting the objectives and milestones must be reported annually. A Community Benefits Reporting Template is available at <https://www.energy.gov/infrastructure/reporting-checklists> with the intent to reduce the administrative burden by promoting the use of common formats.

B. Boosting Domestic Manufacturing

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	As Specified , within 30 calendar days after the end of the first quarterly reporting period; Yearly ; within 90 calendar days after the end of the federal fiscal year and Final ; within 120 calendar days after expiration or termination of the award.

There are three tabs of the Boosting Domestic Manufacturing Report. The information contained in all three tabs is required for reporting. A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

1. Domestic Manufacturing & Critical Materials and Rare Earth Element Mining, Processing, Production & Recycling Capacity

This report applies to projects that support (i.e., construct, establish, retool, re-equip, or retrofit) manufacturing capacity as well as projects that support the mining, processing, production, or recycling of critical minerals or rare earth materials and elements. Recipients of such projects are required to report on direct domestic manufacturing capacity as well as critical materials and rare earth element mining, processing, production, or recycling capacity.

2. GHG Emissions & Air Pollutants

This report documents the increases and decreases in pollutants across the effective useful life of the project as well as GHG emissions created through mining, processing, production, or recycling operations projects and indirect changes in GHG emissions resulting from projects.



Federal Assistance Reporting Checklist

Attachment 3

3. Equipment

Recipients must provide a list of all equipment in mining, processing, production or recycling facilities projects that emit pollutants or GHGs onsite in facilities listed in the mining processing & production or recycling tab.

C. Quality Job Creation

1. Direct Jobs

Submit to:	https://www.lcptracker.com/
Submission deadline:	Weekly

This award is funded under Division D of the Bipartisan Infrastructure Law (BIL). All laborers and mechanics employed by the recipient, subrecipients, contractors or subcontractors in the performance of construction, alteration, or repair work in excess of \$2000 on an award funded directly by or assisted in whole or in part by funds made available under this award shall be paid wages at rates not less than those prevailing on similar projects in the locality, as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code commonly referred to as the “Davis-Bacon Act” (DBA).

The Recipient must ensure the timely electronic submission of weekly certified payrolls to [LCPtracker](https://www.lcptracker.com/) unless a waiver is granted to a particular contractor or subcontractor because they are unable or limited in their ability to use or access the software.

2. Training Outcomes

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	As Specified , within 30 calendar days after the end of the first quarterly reporting period; Yearly ; within 90 calendar days after the end of the federal fiscal year and Final ; within 120 calendar days after expiration or termination of the award.

This report on training and training outcomes is required for all projects requiring DBA compliance, those that discuss workforce development or training in statute, as well as any projects where recipients utilize a portion of their BIL funding on workforce development. Only career-track training that focuses on skill development or pathways into career-track training such as pre-apprenticeship should be tracked for this metric. Career-track training leads to an appropriate industry-recognized credential, professional qualification, or license. It teaches broad occupational knowledge and skills that can be applied across a range of technologies, leading to several different career paths. Continuing education allowing incumbent workers to keep up with the latest technology and practices, and to advance in their careers, is another important element



Federal Assistance Reporting Checklist

Attachment 3

of career-track training. This report will also track the number of workforce partnerships involving employers, community-based organizations (CBOs), or labor unions, including partnerships specified in community benefits agreements and project labor agreements, or similar.

A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

3. Good Jobs Outcomes

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	As Specified , within 30 calendar days after the end of the first quarterly reporting period; Yearly ; within 90 calendar days after the end of the federal fiscal year and Final ; within 120 calendar days after expiration or termination of the award.

This report is required of all recipients of BIL funding. To assess activities contributing to growing American jobs, improving the quality of energy jobs, and facilitating equitable access to good jobs and training opportunities, all BIL recipients must report annually on good jobs outcomes.

A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

4. Permanent Jobs

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Quarterly; within 30 calendar days after the end of the federal fiscal year quarter

All BIL funding recipients who are creating ongoing operations, maintenance, and production jobs should report the number of hires for each reporting period and associated demographic information.

A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

D. Equity and Justice

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	Quarterly; within 30 calendar days after the end of the federal fiscal year quarter

There are three reports associated with Equity and Justice. All three reports are included on the same form provided by the DOE Project Team. While the reports are included on the same form, some recipients may not need to complete all three. Refer to the checklist at the beginning of this document for applicability.



Federal Assistance Reporting Checklist

Attachment 3

A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

1. Community Engagement Process

This report applies to all projects that include building, expanding, or retrofitting a facility. Recipients should report on engagement activities such as participatory research, citizen advisory committees, open planning forums, etc. and the outputs of those activities such as memorandums of understanding, letters of support, etc. Information in this tab should reflect the objectives outlined in the Community Benefits Plan.

2. Engagement Events and Technical Assistance

This report applies to all projects that hold stakeholder engagement events as outlined in their Community Benefits Plan. Recipients are required to report on stakeholders engaged and from what, if any, communities of interest.

3. Community Ownership

This report applies to all projects that build or install new clean energy or climate assets. Recipients should report whether any or all their project will be community owned, as well as the compensation the community will receive.

E. Pathways to Net Zero

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx
Submission deadline:	As Specified , within 30 calendar days after the end of the first quarterly reporting period; Yearly ; within 90 calendar days after the end of the federal fiscal year and Final ; within 120 calendar days after expiration or termination of the award.

There are four reports associated with Pathways to Net Zero. While all four reports are included on the same form, all four reports are not applicable to each project. Refer to the checklist at the beginning of this document for applicability. All four reports are also required to complete the Infrastructure Identifier tab. The purpose of this tab is to record the infrastructure, facility, or operating site. The metrics associated with each site will be reported in the individual reports (Infrastructure Supported, Hydrogen Production, Carbon Capture, Removal, Storage, and Energy Saved) as applicable.

A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.

1. Infrastructure Supported



Federal Assistance Reporting Checklist

Attachment 3

This report applies to projects that build, retrofit, retool, repurpose, or otherwise support the construction or continued operation of energy generation, energy storage, or other clean energy infrastructure. Projects that fund infrastructure planning should also report.

Recipients are required to report on planned values, annual actual values for the life of project, and values at closeout. This report is structured by technology type, recipients need only complete the technology type applicable to their project as indicated by the DOE project team.

2. Hydrogen Production

This report applies to projects that build, retrofit, retool, repurpose, or otherwise support the construction or continued operation of hydrogen fuel production. Hydrogen can be utilized across sectors to generate electricity, replace existing feedstock or fuel in the industrial sector, provide residential and commercial heating, or fuel transportation

Recipients are required to report on planned values, annual actual values for the life of project, and values at closeout.

3. Carbon Capture, Removal, Storage

This report applies to projects that build, or otherwise support the construction or continued operation of carbon capture, carbon removal, carbon storage, or carbon dioxide transport.

Recipients are required to report on planned values, annual actual values for the life of project, and values at closeout. This report is structured by technology type, recipients need only complete the technology type applicable to their project as indicated by the DOE project team.

4. Energy Saved

This report applies to all projects that include energy efficiency upgrades or fuel switching, water conservation upgrades that save energy, or distributed energy resources. Recipients are required to report on interventions completed as well as planned and actual energy savings.

F. Davis Bacon Act Semi-Annual Labor Compliance Report

Submit to:	https://www.eere-pmc.energy.gov/SubmitReports.aspx and email DBAenforcementreports@hq.doe.gov
------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------



Federal Assistance Reporting Checklist

Attachment 3

Submission deadline:	As Specified , April 21 and October 21
----------------------	-----------------------------------------------

This award is funded under Division D of the Bipartisan Infrastructure Law (BIL). All laborers and mechanics employed by the recipient, subrecipients, contractors or subcontractors in the performance of construction, alteration, or repair work in excess of \$2,000 on an award funded directly by or assisted in whole or in part by funds made available under this award shall be paid wages at rates not less than those prevailing on similar projects in the locality, as determined by the Secretary of Labor in accordance with Subchapter IV of Chapter 31 of Title 40, United States Code commonly referred to as the "Davis-Bacon Act" (DBA).

Calendar year semi-annual reports are required on compliance with and enforcement of the labor standards provisions of the Davis-Bacon Act and its related acts covering the periods of October 1st through March 31st, and April 1st through September 30th, respectively. Please submit your semi-annual report to DOE three weeks after the end of semi-annual reporting period by April 21st and October 21st for the applicable performance period.

A template is available at: <https://www.energy.gov/infrastructure/reporting-checklists>.



Federal Assistance Reporting Checklist

Attachment 3

VI. Appendix A: Notice To Recipients (Prime Recipients And Subrecipients) Regarding Protected Data, Limited Rights Data And Protected Personally Identifiable Information

I. PROTECTED DATA AND LIMITED RIGHTS DATA

The recipient is required to mark protected data and limited rights data in accordance with the IP clause set of the award agreement. Failure to properly mark data may result in its public disclosure under the Freedom of Information Act (FOIA, 5 U.S.C. § 552) or otherwise.

A. Protected Data - Technical Data or Commercial or Financial Data First Produced in the Performance of the Award

The U.S. Government normally retains unlimited rights in any technical data or commercial or financial data produced in performance of Government financial assistance awards, including the right to distribute to the public.

However, under certain DOE awards, the recipient may mark certain categories of data produced under the award as protected from public disclosure for a period of time (“Protected Data”). If the award agreement provides for protected data and the recipient wants the data to be protected, the recipient must properly mark any documents containing Protected Data. The recipient should review the IP clause set of the award agreement to determine the applicability of protected data, the maximum length of period of time for data protection and the required markings that must be used to invoke data protection for the award.

B. Limited Rights Data - Data Produced Outside of the Award at Private Expense

Limited Rights Data is data (other than computer software) developed at private expense outside any Government financial assistance award or contract that embody trade secrets or are commercial or financial and confidential or privileged. Prior to including any Limited Rights Data in any documents to DOE, the recipient should review the award agreement. In most DOE awards, the recipient should not deliver any limited rights data to DOE if the recipient wants to protect the Limited Rights Data. If the DOE award does allow and require the delivery of limited rights data, then the recipient must properly mark any documents containing Limited Rights Data as set forth in the IP clause of the award agreement.



Federal Assistance Reporting Checklist

Attachment 3

II. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION

The recipient should not include any Protected Personally Identifiable Information (Protected PII) in their submissions to DOE. Protected PII is defined as any data that, if compromised, could cause harm to an individual such as identify theft. Protected PII includes, but is not limited to:

- Social Security Numbers in any form;
- Place of Birth associated with an individual;
- Date of Birth associated with an individual;
- Mother's maiden name associated with an individual;
- Biometric record associated with an individual;
- Fingerprint;
- Iris Scan;
- DNA;
- Medical history information associated with an individual;
- Medical conditions, including history of disease;
- Metric information, e.g., weight, height, blood pressure;
- Criminal history associated with an individual;
- Ratings;
- Disciplinary actions;
- Passport number;
- Educational transcripts;
- Financial information associated with an individual;
- Credit card numbers; and
- Security clearance history or related information (not including actual clearances held).

Applicant Name: The Narragansett Electric Company

Award Number: DE-GD0000910 / BASE

Attachment 4

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal	Non-Federal	Federal	Non-Federal	Total
		(c)	(d)	(e)	(f)	(g)
1. Budget Period 1	81.254			\$50,000,000	\$233,302,326	\$283,302,326
2.						\$0
3.						\$0
4.						\$0
5. Totals				\$50,000,000	\$233,302,326	\$283,302,326
Section B - Budget Categories						
6. Object Class Categories	Grant Program, Function or Activity				Total (5)	
	(1) Federal	(2) Cost Share	(3)	(4)		
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies					\$0	
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)	\$50,000,000	\$233,302,326			\$283,302,326	
j. Indirect Charges					\$0	
k. Totals (sum of 6i-6j)	\$50,000,000	\$233,302,326			\$283,302,326	
7. Program Income					\$0	

Section C - Non-Federal Resources					
	(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) Totals
8.	81.254	\$233,302,326			\$233,302,326
9.					
10.					
11.					
12.	Total (sum of lines 8 - 11)	\$233,302,326	\$0	\$0	\$233,302,326

Section D - Forecasted Cash Needs						
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter	
13.	Federal	\$50,000,000	\$12,500,000	\$12,500,000	\$12,500,000	\$12,500,000
14.	Non-Federal	\$233,302,326	\$58,325,582	\$58,325,582	\$58,325,582	\$58,325,582
15.	Total (sum of lines 13 and 14)	\$283,302,326	\$70,825,582	\$70,825,582	\$70,825,582	\$70,825,582

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project					
(a) Grant Program	Future Funding Periods (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$0	\$0			
17.					
18.					
19.					
20.	Total (sum of lines 16-19)	\$0	\$0	\$0	\$0

Section F - Other Budget Information					
21.	Direct Charges	\$283,302,326	22.	Indirect Charges	\$0

23. Remarks

Instructions for the SF-424A

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

General Instructions

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

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

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

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

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

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

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

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

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

Line 5—Show the totals for all columns used.

Section B. Budget Categories

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

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

Line 6j—Show the amount of indirect cost.

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

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

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

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

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

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

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

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

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

Section D. Forecasted Cash Needs

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

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

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

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants. If more than four lines are needed to list the program titles, submit additional schedules as necessary.

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

Section F. Other Budget Information

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

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

Line 23—Provide any other explanations or comments deemed necessary.

The Narragansett Electric Company
d/b/a Rhode Island Energy
RIPUC Docket No. 25-54-EL
In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division's Fourth Set of Data Requests
Issued on January 12, 2026

Attachment DIV 4-1-7

REDACTED

Division 4-2
IIJA

Request:

In the FY 2026 ISR Plan proceeding, the Company's acceptance of the IIJA Terms and Conditions was pending clarification of questions to DOE. (DIV 6-14 response). Explain any differences between the version in review at that time and the executed Terms and Conditions, and why any revisions occurred.

Response:

No revisions occurred. The Terms and Conditions were executed as part of the original award.

Division 4-3
IIJA

Request:

What are the budget periods?

Response:

The award consists of five budget periods summarized below:

1. Budget Period 1 – October 2024 through September 2025
2. Budget Period 2 – October 2025 through September 2026
3. Budget Period 3 – October 2026 through September 2027
4. Budget Period 4 – October 2027 through September 2028
5. Budget Period 5 – October 2028 through September 2029

Division 4-4
IIJA

Request:

In the FY 2026 ISR Plan proceeding, the Company provided the following cost sharing obligations under the DOE Terms and Conditions (“T&C”) in response to DIV 1-60 (DOE T&C page 5 of 31):

Budget Period No.	Government Share		Recipient Share		Total
	\$	%	\$	%	
1	\$50,000,000	18%	\$233,302,326	82%	\$283,302,326
Total Project	\$50,000,000	18%	\$233,302,326	82%	\$283,302,326

- a. What are the cost sharing obligations in the accepted agreement?
- b. What is the maximum reimbursement amount that can be awarded over a budget period and in total? How much capital investment will RIE be required to make in order to receive the full amount of potential reimbursement? How much does RIE plan to invest?
- c. How do the obligations align with the Company’s original understanding that it was eligible to receive \$50 million from DOE provided it made at least \$100 million of eligible investments? (see Docket 24-54-EL, Proposed FY 2026 ISR Plan, Witness Castro p.9).
- d. Does the Company have to commit to expending all or part of \$283M over the Budget Period (or updated recipient share) in order to potentially receive 18% cost share up to \$50M (or updated amount) in government funding?
- e. If the Company does not expend the full amount stated, is a DOE contract revision required for a scope change? If the full amount is not invested, is there a risk of losing previously received funding? Explain RIE’s interpretation of the Company’s required investment amount and cost sharing obligations for both DOE and RIE, and how the Terms and Conditions do, or do not reflect the Company’s interpretation.

Response:

- a. The Company’s award currently has an 82% Recipient Share with an 18% Government Share cost sharing split. The Company is presently eligible to receive reimbursement of costs up to 18% of cost spent on eligible capital investments.

Division 4-4, page 2

- b. The Company is presently eligible to receive up to \$50,000,000 from the federal government over the five-year award period with no set limits for each budget period. The Company is obligated to spend \$283,302,326 to be eligible to receive the full amount of the award, as summarized in the award, and must seek reimbursement from the government.
- c. The reference to Company witness Kathy Castro's testimony in the FY 2026 ISR Plan, Docket No. 24-54-EL refers to the Company's original understanding of its cost sharing obligations. Ms. Castro subsequently clarified the change in that understanding on p.10 of her testimony. The Company's obligations align with the award as described in subpart b. above.
- d. The Company must meet 82% Recipient Share obligations in the award to be reimbursed up to the \$50,000,000 in Government Share. Please see the Company's response to subpart (e) for the Company's understanding of these cost sharing obligations.
- e. Through discussions with the DOE, the Company has been informed that any cost share changes greater than 10% require approval from the Grid Deployment Office. It is the Company's understanding, that if the Company fails to meet the cost sharing amount required by the award, the DOE may subsequently recover some or all funds provided under the award. The Company is obligated to spend up to the award amount. For the original award, this would mean that the Company would need to spend \$283 million and the federal government would then reimburse the Company 18% or \$50 million. If the Company spends less than the \$283 million, and doesn't request a cost share award modification, then the federal government cost share would be adjusted accordingly to represent 18% of the actual total spend. These details are documented on pages 4-5 of the Special Terms and Conditions, provided as Attachment DIV 4-1-2 to the Company's response to Division 4-1.

Division 4-5
IIJA

Request:

In RIE's proposal to the DOE for funding, how does the Company represent that cost sharing (the Company's commitment) will be secured?

Response:

The Company did not specify a specific method for securing the Company's share of funding.

Division 4-6
IIJA

Request:

Can or will the Company make the investment commitments over the 5-year performance period?

Response:

No. The Company has since adjusted its 5-year capital spending plan based on the outcome of the FY 2026 Infrastructure, Safety and Reliability ("ISR") Plan. The Company is in the process of updating the proposed IIJA investment commitments.

Division 4-7
IIJA

Request:

If the Company proposes investments eligible for IIJA funding in the ISR Plan that are subsequently not approved by the Commission, will the Company fund and implement those projects outside of the ISR at the same level and pace as proposed? Explain.

Response:

The Company cannot commit that any IIJA-eligible project excluded from the ISR Plan would progress at the same level and pace outside the ISR. The Company would review the proposed investments, including the system risk and the expected risk and delay of cost recovery, and use its discretion regarding whether to continue to progress those projects outside the ISR to meet its obligations to maintain safety and reliability.

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division’s Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-8
IIJA

Request:

Explain what IIJA funding covers in terms of capital equipment, engineering, design, construction, removal, overheads, etc. Discuss what specifically is not funded.

Response:

The Company’s award covers the following investments:

TECHNOLOGY AREA	INVESTMENTS
Informational Technology	Advanced Distribution Management System (ADMS) and Advanced Energy Management Systems (AEMS)
	Digital Twin
Operational Technology	Advanced Reclosers
	Smart Digital Relays
	Smart Capacitors and Regulators
	Fiber optic Communications Backbone

The Company is seeking reimbursement for Capital Investments associated with each of the Informational Technology and Operational Technology summarized in the award. The award budget is inclusive of the following budget categories to design, plan, and construct the investments listed above. The budget categories are comprised mainly of the bulleted items listed below each category:

1. Contractual costs
 - a. Professional services
 - b. Construction vendors
2. Equipment costs
 - a. Major and minor equipment and materials
3. Personnel costs (internal labor and resources)
 - a. Internal labor and resources
4. Fringe costs
 - a. Personnel fringe costs
 - b. Distribution clearing

Division 4-8, page 2

5. Other costs
 - a. IT hosting fees
 - b. Vehicle and equipment use
 - c. Police detail / flaggers

The award does not include reimbursement for OPEX and Cost of Removal costs.

Division 4-9
IJA

Request:

The Company previously indicated that it will apply IJA reimbursements against investment costs before placing them in service. Does this mean that recovery will be delayed if there is a lag in DOE reimbursement beyond the reconciliation filing? Provide an example of how cost recovery will apply.

Response:

The Company is in process of seeking potential reimbursement for investments made during the first budget period. The Company will not delay placing eligible investments in service due to delays in receipt of reimbursement. The Company would include any IJA funding to offset the cost of investments that had been included in rates. Depending on the timing of receipt of IJA funding, the Company would reflect this funding in the Company's Infrastructure, Safety, and Reliability ("ISR") Plan Reconciliation filing for the applicable fiscal year, or it would propose the appropriate adjustment in any of the Company's future ISR filings.

Division 4-10
IIJA

Request:

What occurs from a rate recovery perspective if the Company receives IIJA funding well after the investment has been made and included in rates?

Response:

The Company would include any IIJA funding to offset the investments that had been included in rates. Depending on the timing of receiving IIJA funding, the Company would reflect this funding in the Company's Infrastructure, Safety, and Reliability ("ISR") Plan Reconciliation filing for the applicable fiscal year or it would propose the appropriate adjustment in any of the Company's future ISR filings.

Division 4-11
IIJA

Request:

Explain any current federal actions regarding funding freezes that may impact IIJA reimbursement to the Company.

Response:

At this time, the Company is not aware of funding freezes that may impact IIJA reimbursement to the Company.

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division’s Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-12¹
IIJA

Request:

Complete the following tables to provide the Company’s comprehensive investment plan and anticipated funding for IIJA eligible investments. Provide the basis for the spend (capital, removal, etc.). Reconcile the totals to the commitments in the accepted Terms and Conditions. For the purposes of the data request, assume that IIJA reimbursement is received in the fiscal year of spend.

Investments Eligible for IIJA Funding-ISR Plan	Beginning FY Actual		through	Ending FY Forecast	
	Qty.	Spend		Qty.	Spend
Capacitors					
Regulators					
Reclosers					
Electromechanical Relays					
Fiber					
<i>etc.</i>					
Sub-Total OT (\$)					
IT (\$)					
Grand Total ISR (\$)					
IIJA Funding (\$)					
Net ISR Spend (\$)					

Investments Eligible for IIJA Funding-Non-ISR Plan	Beginning FY Actual		through	Ending FY Forecast	
	Qty.	Spend		Qty.	Spend
Capacitors					
Regulators					
Reclosers					
Electromechanical Relays					
Fiber					
<i>etc.</i>					
Sub-Total OT (\$)					
IT (\$)					
Grand Total ISR (\$)					
IIJA Funding (\$)					
Net Non-ISR Spend (\$)					

¹ The Company’s response begins on page 2.

Division 4-12, page 2

Response:

The data provided in Table 1 (ISR Plan) and Table 2 (Non-ISR Plan) below represents the actual IJA potential reimbursable charges incurred since the award inception (October 2024 through December 2025). This represents the CAPEX spend related to engineering, licensing and permitting, construction, project oversight, etc. to install the listed projects. All dollar values reflected in the tables below are costs incurred with an assumed 18% Government share reflected in the IJA Funding line (cell c11). These eligible costs have not been reimbursed by the Government at this time. The charges in the IT line (cell c9) reflect actuals through September 2025 as the Company is still working through the DOE reporting cadence to support costs incurred through December 2025. Column e in each table represents the forecasted spend through the remainder of FY 2026 and FY 2027. The Company anticipates it also will be able to include approximately \$9.8 million in pre-award investments.

The total quantity of devices represents the total number of qualifying devices that have been installed, from inception to date, and the forecasted installation for the remainder of FY 2026 and FY 2027.

The IJA Budget Periods start in October and run through September of the following calendar year; therefore, the budget periods differ from the ISR FY calendar (April 1 – March 31) by 6 months. The Company was awarded its federal funding with the obligation to invest \$283 million of investments over the 5-year award period. The Company is in the process of updating the proposed IJA investment commitments after adjusting its 5-year capital spending plan based on the outcome of the FY 2026 Infrastructure, Safety and Reliability (“ISR”) Plan.

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division’s Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-12, page 3

Table 1

	(a)	(b)	(c)	(d)	(e)
1	Investments Eligible for IIJA Funding - ISR Plan	Actuals (Oct 24 - Dec 25)		Ending FY Forecast	
2		QTY	Spend	QTY	Spend
3	Capacitors	11	\$ 376,626	28	\$ 619,002
4	Regulators	0	\$ 116,352	9	\$ 1,058,229
5	Reclosers	5	\$ 1,316,197	39	\$ 4,088,115
6	Electromechanical Relays	10	\$ 2,431,262	18	\$ 4,975,810
7	Fiber		\$ -		\$ -
8	Sub Total OT		\$ 4,240,437		\$ 10,741,155
9	IT	\$ -		\$ -	
10	Grand Total ISR	\$ 8,087,599		\$ 10,741,155	
11	IIJA Funding	\$ 1,455,768		\$ 1,933,408	
12	Net ISR Spend	\$ 6,631,831		\$ 8,807,748	

Table 2

	(a)	(b)	(c)	(d)	(e)
1	Investments Eligible for IIJA Funding – Non-ISR Plan	Actuals (Oct 24 - Dec 25)		Ending FY Forecast	
2		QTY	Spend	QTY	Spend
3	Capacitors	0	\$ 20,977	25	\$ 1,463,494
4	Regulators	0	\$ -	0	\$ -
5	Reclosers	41	\$ 3,826,185	53	\$ 4,804,509
6	Electromechanical Relays	0	\$ -	0	\$ -
7	Fiber		\$ -		\$ -
8	Sub Total OT	\$ 3,847,162		\$ 6,268,003	
9	IT	\$ 272,169		\$ 439,254	
10	Grand Total Non-ISR	\$ 3,847,162		\$ 6,707,257	
11	IIJA Funding	\$ 692,489		\$ 1,207,306	
12	Net Non-ISR Spend	\$ 3,154,673		\$ 5,499,951	

Division 4-13
IIJA

Request:

Section 2, page 45 of the proposed FY 2027 ISR filing states that “The Company accepted the award in February 2025 and continues to coordinate closely with the Department of Energy (“DOE”) to execute on the funding and to evaluate modifications to award to align with the current work plan. Certain work in the FY 2027 ISR Plan and previous years’ Plans are eligible for IIJA reimbursement. The Company is in the process of submitting a reimbursement request for services performed in the first budget period of the award which is October 2024 through September 2025.”

- a. Explain why and how the Company continues to coordinate with the DOE to execute on funding.
- b. Explain what modifications to the award are being explored and why.

Response:

- a. The Company meets monthly with the DOE to discuss award status and execution. The Company is obligated to report quarterly on the status of execution.
- b. The Company is required to modify the award at the request of the DOE to remove the Community Benefits Plan and references to Diversity, Equity, and Inclusion initiatives. Additionally, the Company has updated its long-range capital investment plan to reflect regulatory outcomes in prior Infrastructure, Safety and Reliability Plan proceedings. These updates included deferring or moderating the pace of some of the investments that were included in the original IIJA proposal. The Company will be updating the original IIJA implementation plan to account for these changes.

Division 4-14
IIJA

Request:

In response to FY 2026 ISR Plan DIV 6-10, the Company stated that “the Company is inquiring with the DOE about the potential impacts to the award amount due to the change in investment levels. The Company anticipates an answer in the first quarter of 2025.” What was the answer received?

Response:

The Company has not received an answer from the DOE to its question about the potential impacts to the award amount due to the change in investment levels because, subsequent to the Company's response to Division Data Request 6-10 in the FY 2026 ISR Plan, the award was put on hold, pending review by the new administration. As of the date of this response, the Company is continuing to have discussions with DOE regarding the award status and potential modifications, which remain under review by DOE and subject to change.

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division's Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-15
IIJA

Request:

Would the Company modify any previous or proposed ISR Plan, Non-ISR, or Long Range Plan investments if IIJA reimbursement was not available to RIE? If so, explain which project categories would be adjusted including investment levels and/or pace of investment and why.

Response:

No, the Company would not modify any previous or proposed ISR Plan, Non-ISR, or Long Range Plan investments if IIJA reimbursement was not available. The Company proposes investments when upgrades are needed to maintain safe and reliable distribution service.

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division’s Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-16
IIJA

Request:

Regarding response to Division 1-45, expand Table 1 by including an additional explanation of the project scope and equipment eligible for reimbursement. By fiscal year, provide actual Company spend and explain how reimbursement was calculated. Where applicable provide any amount recovered in an ISR Plan.

Response:

The Company is requesting reimbursement for costs associated with the ISR projects in Table 1 below. The reimbursement was calculated at 18% of total Company spend based on the current number of devices anticipated for each project. Column (c) reflects IIJA eligible spend from award inception (October 2024) through the end of FY25, column (d) reflects IIJA eligible spend in FY26 to date, column (e) reflects the potential 18% federal cost share for which the Company will seek reimbursement on the IIJA eligible spend, and column (g) reflects the total number of devices as part of each scope. The total potential reimbursement is for work completed from award inception (October 2024) to October 2025 and does not necessarily reflect the total cost of the investments described in column (g) because work is ongoing. Column (f) reflects the amount recovered in the FY25 Annual Reconciliation, if applicable. There may be pre-award spend on these projects that are eligible for reimbursement that the Company is validating with the DOE. These pre-award costs have not been included in the table below as they were not incurred during the formal IIJA award period.

Table 1

	(a)	(b)	(c)	(d)	(e)	(f)	(g)
	Project Description	ISR / Non-ISR	Total CAPEX Charges Incurred October 2024 through FY25	Total CAPEX Charges Incurred FY26 through October 2025	Total Potential Federal Reimbursement Through Oct 25	Amount Recovered in FY 25 Annual Reconciliation	Description of IIJA Scope
1	IE - OS DIST TRANSFORMER UPGRADES	ISR	\$ -	\$ 58,256	\$ 10,486	N/A	3 Reclosers
2	Warren Sub Expansion (D-LINE)	ISR	\$ 3,602	\$ 95,856	\$ 17,902	N/A	12 Reclosers 3 Capacitors
3	Blanket Project - D/F Other	ISR	\$ -	\$ 9,622	\$ 1,732	N/A	1 Capacitor
4	RELIABILITY BLANKET	ISR	\$ -	\$ 588,841	\$ 105,991	N/A	10 Reclosers 5 Capacitors
5	LOAD RELIEF BLANKET	ISR	\$ -	\$ 117	\$ 21	N/A	1 Capacitor

The Narragansett Electric Company
d/b/a Rhode Island Energy
RIPUC Docket No. 25-54-EL

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division's Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-16, page 2

	(a)	(b)	(c)	(d)	(e)	(f)	(g)
	Project Description	ISR / Non-ISR	Total CAPEX Charges Incurred October 2024 through FY25	Total CAPEX Charges Incurred FY26 through October 2025	Total Potential Federal Reimbursement Through Oct 25	Amount Recovered in FY 25 Annual Reconciliation	Description of IJJA Scope
6	Tiverton 33F6 Reconductoring	ISR	\$ 139,505	\$ 47,865	\$ 33,727	\$ 386,685	2 Reclosers 8 Capacitors
7	NWRI Common Items	ISR	\$ 14	\$ -	\$ 3	\$ 969	5 Capacitors
8	Apponaug Substation D Line	ISR	\$ -	\$ 1,288	\$ 232	N/A	1 Recloser 1 Capacitor
9	Ph 2 - ProvStudy Geneva,Olnyvile,Rocham4k V	ISR	\$ -	\$ 294	\$ 53	N/A	2 Reclosers 4 Capacitors
10	Dexter 36W44 Asset Replacement D Line	ISR	\$ -	\$ 69,386	\$ 12,490	N/A	1 Recloser 1 Capacitor
11	Crossman St #111 Sub (D-Line)	ISR	\$ -	\$ 2,005	\$ 361	N/A	1 Recloser
12	Lafayette 30F2 Feeder Tie	ISR	\$ -	\$ 670	\$ 121	N/A	1 Recloser 1 Capacitor
13	Wakefield 17F2 Feeder Upgrade D-Line	ISR	\$ -	\$ 261	\$ 47	N/A	2 Capacitors
14	Wakefield 17F3 Feeder Relief	ISR	\$ -	\$ 1,394	\$ 251	N/A	1 Capacitor
15	Peacedale 59F3 Feeder Relief-keep	ISR	\$ -	\$ 5,322	\$ 958	N/A	2 Capacitors
16	Electromechanical Relay Program	ISR	\$ 952,829	\$ 1,094,716	\$ 368,558	N/A	10 Electromechanical Relays
17	Bristol D Line & D Sub	ISR	\$ 291	\$ 4,388	\$ 842	N/A	5 Reclosers 2 Capacitors
18	Total (ISR)		\$ 1,096,242	\$ 1,980,281	\$ 553,774	\$ 387,654	
19	Phillipsdale Substation (D-Line)	Non-ISR	\$ -	\$ 130,924	\$ 23,566	N/A	10 Reclosers
20	Staples #112 Reliability 112 - W44	Non-ISR	\$ -	\$ 27,199	\$ 4,896	N/A	2 Reclosers
21	Recloser Program	Non-ISR	\$ 2,937,169	\$ 315,634	\$ 585,505	N/A	40 Reclosers
22	Johnston VVO	Non-ISR	\$ -	\$ 648	\$ 117	N/A	68 Capacitors
23	IT Costs	Non-ISR	\$ 1,594,224	\$ 272,169	\$ 335,951	N/A	
24	Total (Non-ISR)		\$ 4,531,393	\$ 4,707,135	\$ 950,034	N/A	
25	Grand Total		\$ 5,627,635	\$ 6,687,416	\$ 1,503,808	\$ 387,654	

Prepared by or under the supervision of: Eric Wiesner

Division 4-17
IIJA

Request:

Regarding response to Division 1-45, describe and provide a detailed breakdown of the IT costs that are eligible for federal reimbursement. Are the IT costs part of the investments that PPL has agreed to absorb as part of its acquisition costs? If not, when will RIE seek recovery of the costs?

Response:

The Company is eligible to seek reimbursement for the capital investments associated with the implementation of the Advanced Distribution Management System (“ADMS”) and Advanced Energy Management System (“AEMS”) as well as the Digital Twin implementation. Please see the following summary of these technologies:

- ADMS is an enterprise software platform used by the Company to command and control the electric distribution system, including outage management and system operations.
- AEMS is the equivalent software platform to ADMS used by PPL Services Corporation (“PPL Services”) to control the flow of power on the transmission system.
- Digital Twin is an upgraded Geographic Information System (“GIS”) mapping software with a new Utility Network ESRI tool, the Automated Utility Design (“AUD”), to supplement geographic mapping of physical assets with smart modeling of interactions, such as electrical, mechanical, and communication, for each component on the electric power system.

Table 1 below is a summary of IT charges incurred that are eligible for reimbursement by the DOE. The table breaks down the investments into the specific IT scope and actuals per phase of the award since inception (October 2024). The Azure Virtual Desktop (“AVD”) and Azure Infrastructure are digital tools to utilize the Digital Twin upgrades. Amazon Web Services (“AWS”) hosting fees are associated with the ADMS upgrades. All costs are called out as budget categories in the award.

Similar to the other investments included as part of the IIJA award, all CAPEX costs are eligible for reimbursement. The IT costs are part of the overall IIJA proposal submitted by the Company including Transition Costs that PPL Corporation and PPL Rhode Island Holdings, LLC have agreed not to seek to recover in rates that are duplicative of existing costs, services, or assets for which Rhode Island customers already have paid through base distribution rates as well as IT costs recovered through the Company's pending base distribution rate case in Docket No. 25-45-GE (“2025 Rate Case”). The Company has the discretion to apply IIJA award reimbursement

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division’s Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-17, page 2

received from the DOE to any eligible investment. This will include other IJIA eligible investments or application to the costs recovered through the 2025 Rate Case to benefit the Company’s customers.

Table 1

	(a)	(b)	(c)	(d)	(e)	(f)
1	Categories	October 24 - December 24	January 25 - March 25	April 25 - June 25	July 25 - September 25	Grand Total
2	ADMS					
3	Contractual	\$ 899,134	\$ 215,220	\$ -	\$ 53,089	\$ 1,167,443
4	Equipment	\$ -	\$ -	\$ 76,986	\$ -	\$ 76,986
5	Personnel	\$ -	\$ 2,627	\$ -	\$ -	\$ 2,627
6	ADMS Sub-Total	\$ 899,134	\$ 217,847	\$ 76,986	\$ 53,089	\$ 1,247,056
7	AVD					
8	Other	\$ -	\$ -	\$ 24,427	\$ 5,914	\$ 30,341
9	AWS					
10	Other	\$ -	\$ -	\$ 10,541	\$ 10,541	\$ 21,082
11	Azure					
12	Other	\$ -	\$ -	\$ 22,240	\$ 13,999	\$ 36,239
13	Digital Twin					
14	Contractual	\$ 259,506	\$ -	\$ -	\$ -	\$ 259,506
15	Grand Total	\$ 1,158,640	\$ 217,847	\$ 134,194	\$ 83,543	\$ 1,594,224

Division 4-18
Other

Request:

Using the FY 2027 Attachment 3 Five Year Budget with Details as a basis, provide a list of projects where proposed budgets vary between the Company's originally submitted ISR Plan proposal dated October 31, 2025 and the December 22, 2025 proposed ISR Plan filing. Explain the rationale for each variance.

Response:

Please see Attachment DIV 4-18 for a list of projects where proposed budgets vary between the Company's originally submitted ISR Plan proposal dated October 31, 2025 and the December 22, 2025 proposed ISR Plan filing with explanations for each variance.

Line Number	(a)	(b) <u>CAPEX</u> <u>FY 2027</u>	(c) <u>CAPEX</u> <u>FY 2028</u>	(d) <u>CAPEX</u> <u>FY 2029</u>	(e) <u>CAPEX</u> <u>FY 2030</u>	(f) <u>CAPEX</u> <u>FY 2031</u>	(g) <u>Explanation for Variance</u>
1	Filing with Division October 2025	\$151,637	\$153,200	\$155,969	\$148,588	\$151,179	
2	Third Party Attachments Blanket Project and Reserve	-	-	-	-	-	The forecasted costs were removed from the Consolidated Soft Budget Limit category and included in a separate category to address the uncertainty about the number of poles to be replaced and the cost liability for replacing these poles.
3	Meter Blanket Project	(800)	(800)	(800)	(800)	(800)	Reduction in spending due to additional analysis and refinement of forecast.
4	Failed Hopkins Hill Transformer	(984)	-	-	-	-	Transformer was delivered early and will be placed into service during FY 2026.
5	Providence Study Phase 2 - Geneva,Olneyville,Rochambeau 4kV	800	-	-	-	-	Revised forecasted spend for Providence Study Phase 2 projects.
6	Tiverton Substation	-	-	-	-	-	The project was reclassified from the Consolidated Soft Budget Limit category and to the Separately Tracked Major Projects category because the total project's capital spending is forecasted to exceed \$5 million.
7	Coventry Substation Relocation	-	-	-	-	-	The project was reclassified from the Consolidated Soft Budget Limit category and to the Separately Tracked Major Projects category because the total project's capital spending is forecasted to exceed \$5 million.
8	Hope Substation Equipment Replacement	-	-	-	-	-	The project was reclassified from the Consolidated Soft Budget Limit category and to the Separately Tracked Major Projects category because the total project's capital spending is forecasted to exceed \$5 million.
9	New Lafayette 115/12KV Distribution Line	800	-	-	-	-	The project's forecasted costs were shifted due to delays in permitting and engineering.
10	37K22 and 37K33 Reconfiguration	(352)	-	-	-	-	This project has been put on hold to be reevaluated within the ongoing Newport area study.
11	AMF	2,598	-	-	-	-	Shifts in spending from FY 2026 to FY 2027 due to delays in meter deployment. Meter deployment is expected to finish on budget in FY 2027.
12	Filing with PUC December 2025	\$153,699	\$152,400	\$155,169	\$147,788	\$150,379	

Division 4-19
Other

Request:

In executable format, provide Attachment 1A – Historical Capital Spending by Key Driver and add a separate table containing budgeted amounts for each ISR Plan year.

Response:

Please see Attachment DIV 4-19 for an executable file providing separate tabs for:

- Attachment DIV 4-19-1 – Containing Attachment 1A, as originally filed, which lists **Historical Capital Spending by Key Driver**.
- Attachment DIV 4-19-2 – Containing a modification to Attachment 1A, which lists the **Budgeted Amounts by Key Driver** for each ISR Plan year included in Attachment 1A.

Attachment DIV 4-19-1: Attachment 1A - as filed

Attachment 1A – Historical Capital Spending by Key Driver - Actuals and Forecast

	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	(r)
Line Number	Spending Rationale and Budget Class (\$000)	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Actual	FY 2021 Actual	FY 2022 Actual	FY 2023 Actual	FY 2024 Actual	FY 2025 Actual	FY 2026 Budget	FY 2027 Proposed Budget
1	3rd Party Attachments	\$ (910)	\$ 464	\$ 223	\$ 141	\$ 271	\$ 290	\$ 160	\$ 123	\$ 400	\$ 186	\$ (629)	\$ 103	\$ 655	\$ (324)	\$ 91	\$ 300	\$ -
2	Distributed Generation	-	-	(675)	195	981	(933)	3,760	280	1,815	1,568	7,615	9,801	3,750	2,514	(1,647)	1,000	1,000
3	Land and Land Rights	281	185	128	94	165	143	199	305	360	350	404	513	464	389	172	450	450
4	Meters	2,215	1,497	1,455	835	612	2,935	1,844	2,627	2,332	2,530	1,605	2,351	1,918	1,537	2,591	430	1,260
5	New Business - Commercial	4,287	3,391	3,722	4,957	4,781	7,568	7,815	5,625	7,293	8,702	7,158	8,325	10,379	10,815	18,304	11,854	14,286
6	New Business - Residential	3,530	2,833	2,886	3,593	3,769	5,085	4,598	4,618	4,337	5,186	2,536	4,691	7,695	7,326	8,723	7,500	7,715
7	Outdoor Lighting	411	495	488	758	479	129	144	185	455	667	509	617	379	390	391	300	300
8	Public Requirements	1,539	1,135	(1,231)	4,234	4,214	770	(124)	3,078	2,495	4,320	(1,407)	2,301	725	1,738	(1,500)	1,669	1,725
9	Transformers & Related Equip	3,278	3,075	3,415	2,331	2,488	1,425	1,837	2,786	4,503	5,157	4,199	5,631	5,761	10,922	14,944	8,000	8,000
10	Customer Requests/ Public Requirements	14,631	13,075	10,410	17,138	17,760	17,412	20,233	19,627	23,989	28,667	21,990	34,335	31,727	35,306	42,069	31,503	34,735
11	Damage/Failure	8,331	9,574	7,795	11,228	12,284	11,327	13,594	11,426	10,087	12,764	11,663	12,441	14,339	16,027	20,923	15,717	14,980
12	Major Storms	4,863	3,419	9,720	3,146	(9,240)	3,204	2,020	7,758	3,912	4,264	7,827	7,759	3,122	4,784	4,348	4,500	5,200
13	Damage/Failure	13,194	12,993	17,515	14,374	3,044	14,531	15,614	19,184	13,999	17,028	19,491	20,200	17,461	20,811	25,271	20,217	20,180
14	Asset Condition	5,831	10,320	8,070	20,905	25,140	27,179	31,274	41,980	32,896	32,878	41,816	35,792	44,239	51,417	35,295	29,696	29,750
15	Non-Infrastructure	706	267	2,269	(346)	1,217	457	622	362	673	145	(57)	1,100	1,554	(1,082)	551	400	410
16	System Capacity & Performance	10,795	13,955	11,249	25,972	25,890	19,920	16,371	25,905	39,515	24,958	17,387	15,303	13,464	18,274	21,675	23,779	24,361
17	Consolidated Soft Budget Limit	45,157	50,610	49,514	78,043	73,051	79,499	84,114	107,058	111,072	103,676	100,627	106,730	108,444	124,725	124,859	105,595	109,436
18	Separately Tracked Major Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	13,384	25,320	22,084
19	Third Party Attachments - FCC Rules	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4,300
20	Study Costs - Fiber Network Study	-	-	-	-	-	-	-	-	-	-	-	-	-	-	100	-	-
21	Capital Spending excluding AMF	45,157	50,610	49,514	78,043	73,051	79,499	84,114	107,058	111,072	103,676	100,627	106,730	108,444	124,725	138,343	130,915	135,820
22	Advanced Metering Functionality	-	-	-	-	-	-	-	-	-	-	-	-	-	1,434	48,598	88,047	17,879
23	Capital Spending including AMF	\$ 45,157	\$ 50,610	\$ 49,514	\$ 78,043	\$ 73,051	\$ 79,499	\$ 84,114	\$ 107,058	\$ 111,072	\$ 103,676	\$ 100,627	\$ 106,730	\$ 108,444	\$ 126,159	\$ 186,941	\$ 218,962	\$ 153,699

Attachment DIV 4-19-2: Budgeted amounts by Key Driver for each ISR Plan year

Modification to Attachment 1A – Budgeted Amounts by Key Driver

	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	(r)
Line Number	Spending Rationale and Budget Class (\$000)	FY 2011 Budget	FY 2012 Budget	FY 2013 Budget	FY 2014 Budget	FY 2015 Budget	FY 2016 Budget	FY 2017 Budget	FY 2018 Budget	FY 2019 Budget	FY 2020 Budget	FY 2021 Budget	FY 2022 Budget	FY 2023 Budget	FY 2024 Budget	FY 2025 Budget	FY 2026 Budget	FY 2027 Proposed Budget
1	3rd Party Attachments		\$ 641	\$ 705	\$ 514	\$ 305	\$ 154	\$ 155	\$ 204	\$ 81	\$ 165	\$ 200	\$ 281	\$ 260	\$ 280	\$ 288	\$ 300	\$ -
2	Distributed Generation		-	-	162	-	645	529	1,106	(692)	4,675	1,000	1,000	1,000	1,000	1,000	1,000	1,000
3	Land and Land Rights		321	297	190	179	167	187	223	225	430	385	393	475	500	515	450	450
4	Meters		1,803	1,815	1,752	1,824	1,775	2,170	1,786	2,247	3,030	2,995	3,375	2,740	2,605	2,533	430	1,260
5	New Business - Commercial		6,158	5,950	4,300	3,924	4,213	5,577	8,183	7,061	7,140	8,405	9,066	8,950	9,093	9,366	11,854	14,286
6	New Business - Residential		3,917	3,304	3,025	2,870	3,500	3,728	5,617	5,247	5,570	4,370	4,020	7,060	7,212	7,428	7,500	7,715
7	Outdoor Lighting		1,018	571	537	533	711	541	153	123	150	315	577	560	575	592	300	300
8	Public Requirements		3,968	3,709	2,599	1,268	1,602	3,814	2,521	2,454	2,350	4,670	3,610	1,338	1,249	3,140	1,669	1,725
9	Transformers & Related Equip		3,811	3,655	3,430	3,634	2,880	2,750	2,060	2,259	3,515	4,200	4,915	4,800	5,000	8,000	8,000	8,000
10	Customer Requests/ Public Requirements	-	21,637	20,006	16,509	14,537	15,647	19,451	21,853	19,005	27,025	26,540	27,237	27,183	27,514	32,862	31,503	34,735
11	Damage/Failure	-	9,245	9,772	9,375	8,816	10,177	9,967	9,828	12,074	11,855	10,640	10,448	12,326	13,242	14,813	15,717	14,980
12	Major Storms	-	460	650	675	1,000	1,000	1,500	1,551	1,600	1,650	1,725	1,750	1,925	1,950	3,000	4,500	5,200
13	Damage/Failure	-	9,705	10,422	10,050	9,816	11,177	11,467	11,379	13,674	13,505	12,365	12,198	14,251	15,192	17,813	20,217	20,180
14	Asset Condition	-	10,937	11,863	20,242	19,591	24,053	33,880	42,980	29,767	39,675	41,120	40,482	48,289	47,660	44,547	29,696	29,750
15	Non-Infrastructure	-	278	336	255	277	275	275	553	556	550	580	1,310	1,520	1,700	892	400	410
16	System Capacity & Performance	-	15,821	13,913	12,544	21,679	22,148	18,368	23,855	39,765	21,045	23,145	20,373	13,507	20,197	22,506	23,779	24,361
17	Consolidated Soft Budget Limit	-	58,378	56,540	59,600	65,900	73,300	83,441	100,620	102,767	101,800	103,750	101,600	104,750	112,263	118,620	105,595	109,436
18	Separately Tracked Major Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	12,749	25,320	22,084
19	Third Party Attachments - FCC Rules	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4,300
20	Study Costs - Fiber Network Study	-	-	-	-	-	-	-	-	-	-	-	-	-	-	200	-	-
21	Capital Spending excluding AMF	-	58,378	56,540	59,600	65,900	73,300	83,441	100,620	102,767	101,800	103,750	101,600	104,750	112,263	131,569	130,915	135,820
22	Advanced Metering Functionality	-	-	-	-	-	-	-	-	-	-	-	-	-	-	48,192	88,047	17,879
23	Capital Spending including AMF	\$ -	\$ 58,378	\$ 56,540	\$ 59,600	\$ 65,900	\$ 73,300	\$ 83,441	\$ 100,620	\$ 102,767	\$ 101,800	\$ 103,750	\$ 101,600	\$ 104,750	\$ 112,263	\$ 179,761	\$ 218,962	\$ 153,699

Division 4-20

Other

Request:

In executable format, provide Attachment 1B – Historical Plant in Service and expand to indicate forecasted plant in service through FY 2036 based on the Company's most recent Long-Range Plan. Add a line item for total Non-ISR investments and provide both historical and forecasted plant in service through FY 2036.

Response:

Please see Attachment DIV 4-20 for an executable file providing the historical Plant in Service expanded to indicate forecasted plant in service through FY 2036 based on the Company's Long-Range Plan.

For Non-ISR investments, the Company has included the actual and forecasted plant in service through FY 2030 which reflects investments the Company is progressing outside the ISR currently.

Forecasting future plant in service is dependent upon many variables such as future ISR and rate case proceeding outcomes, continued system needs assessments, customer demand and growth, and other variables and, therefore, is subject to change.

Line Number	(a) Plant in Service	(b) FY 2012 Actual	(c) FY 2013 Actual	(d) FY 2014 Actual	(e) FY 2015 Actual	(f) FY 2016 Actual	(g) FY 2017 Actual	(h) FY 2018 Actual	(i) FY 2019 Actual	(j) FY 2020 Actual	(k) FY 2021 Actual	(l) FY 2022 Actual	(m) FY 2023 Actual	(n) FY 2024 Actual	(o) FY 2025 Actual	(p) FY 2026 Target	(q) FY 2027 Proposed Target	(r) FY 2028 Proposed Target	(s) FY 2029 Proposed Target	(t) FY 2030 Proposed Target	(u) FY 2031 Proposed Target	(v) FY 2032 Proposed Target	(w) FY 2033 Proposed Target	(x) FY 2034 Proposed Target	(y) FY 2035 Proposed Target	(z) FY 2036 Proposed Target
1	Customer Request/ Public Requirement	\$15,144	\$11,765	\$13,439	\$18,418	\$18,904	\$14,678	\$20,373	\$22,820	\$25,082	\$15,634	\$23,018	\$26,110	\$33,211	\$34,229	\$29,460	\$32,810	\$35,800	\$36,348	\$37,328	\$38,408	\$40,343	\$41,532	\$42,750	\$43,998	\$45,279
2	Damage Failure	13,628	12,173	16,928	3,804	16,371	13,635	15,085	16,172	18,035	19,684	21,246	13,452	12,202	26,458	18,220	17,110	21,635	18,585	19,110	19,683	21,657	22,299	22,960	23,542	24,344
4	Asset Condition	13,019	6,638	14,640	28,094	18,533	18,726	44,645	36,599	23,870	46,730	29,872	40,972	38,806	39,498	29,890	35,703	52,119	72,876	56,245	88,842	50,128	51,633	53,181	54,778	56,420
5	Non-Infrastructure	60	113	1,990	346	111	0	3	0	194	197	806	371	84	555	400	410	420	440	450	464	477	492	506	522	537
6	System Capacity & Performance	9,799	14,145	8,727	25,970	16,845	28,170	12,103	34,461	33,081	33,114	11,522	10,244	12,948	11,780	3,593	50,360	41,041	28,282	40,822	26,684	25,379	25,154	25,909	26,686	27,487
7	Advanced Metering Functionality	-	-	-	-	-	-	-	-	-	-	-	-	-	-	115,552	46,273	-	-	-	-	-	-	-	-	-
8	Plant Additions including AMF	\$51,650	\$44,835	\$55,724	\$76,632	\$70,763	\$75,208	\$92,208	\$110,052	\$100,262	\$115,360	\$86,464	\$91,149	\$97,249	\$112,519	\$197,115	\$182,666	\$151,014	\$156,530	\$153,954	\$174,080	\$137,984	\$141,110	\$145,306	\$149,526	\$154,067
9	Plant Additions excluding AMF	\$51,650	\$44,835	\$55,724	\$76,632	\$70,763	\$75,208	\$92,208	\$110,052	\$100,262	\$115,360	\$86,464	\$91,149	\$97,249	\$112,519	\$81,563	\$136,393	\$151,014	\$156,530	\$153,954	\$174,080	\$137,984	\$141,110	\$145,306	\$149,526	\$154,067
10	Non-ISR Investments		-	-	-	-	-	-	-	-	-	-	-	-	\$3,014	\$13,000	\$22,288	\$50,555	\$34,617	\$49,916	-	-	-	-	-	-

Division 4-21

Other

Request:

Company Witness Constable states that “In FY 2024 through FY 2026, the Company obtained approval from the PUC through ISR Plan proceedings to commence a number of projects addressing assets with serious reliability and performance issues.” (Bates p. 35). Please explain what constitutes PUC approval to commence a project and whether the Company believes that a project is approved to completion, once that initial approval is received.

Response:

The Company considers “PUC approval” to commence projects to mean that such projects meet the statutory standard for inclusion in the ISR (i.e., such projects are determined to be “reasonably needed for safety and reliability in the short and long-term”). The Company interprets that decision to mean those projects are approved through completion, unless it becomes clear during the course of the project’s life cycle that project drivers are no longer in effect, and the Company and Division agree that a project should be stopped before completion.

Projects, which the Commission has approved in a given fiscal year, are still subject to review through the course of the project’s lifecycle and the Company must still be able to show that such spending is reasonably needed to maintain safety and reliability of the electric distribution system.

Division 4-22

Other

Request:

Explain whether Kingston, Coventry and Hope substation projects received revised estimates due to improved accuracy or updates for inflation. (Bates p. 37). Provide a detailed breakdown comparing the initial and current cost estimates, explaining any scope changes or other drivers for the variances. What was the initial estimate tolerance for each? What are the current project phases and estimate tolerances?

Response:

The Kingston, Coventry and Hope substation projects were initially estimated in 2021 using pre-pandemic cost values. The Company obtained and received revised estimates in 2025 to improve accuracy and adjust for current labor and material prices. An estimate was also developed applying inflation using the Handy-Whitman Index values on the original estimates to compare to the recent estimates. A summary is provided below demonstrating that the recent estimates are in line with inflationary Handy-Whitman adjustments.

There are no scope changes or additions to any of the projects. The initial estimate tolerances are +/- 25% and the new revised estimate tolerances are +/- 25%. Below is a table of the initial and revised estimates. Note that these estimate tolerances should not be applied to the original estimates without consideration of inflation during and after the pandemic.

Division 4-22, page 2

Table 1 – Original Estimates

Title	Accuracy	Spend Type (\$M)	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	2027+	Total
Coventry #54 Sub Relocation	(+/- 25%)	CAPEX	\$ 0.488	\$ 0.651	\$ 0.813	\$ 0.813	\$ 0.488	\$ -	\$ 3.253
		OPEX	\$ 0.024	\$ 0.033	\$ 0.041	\$ 0.041	\$ 0.024	\$ -	\$ 0.163
		REMOVAL	\$ 0.026	\$ 0.035	\$ 0.044	\$ 0.044	\$ 0.026	\$ -	\$ 0.175
		TOTAL	\$ 0.538	\$ 0.719	\$ 0.898	\$ 0.898	\$ 0.538	\$ -	\$ 3.591
Hope #15 Equipment Replacement	(+/- 25%)	CAPEX	\$ 0.209	\$ 0.560	\$ 1.181	\$ 1.280	\$ -	\$ -	\$ 3.230
		OPEX	\$ 0.020	\$ 0.027	\$ 0.033	\$ 0.033	\$ 0.020	\$ -	\$ 0.133
		REMOVAL	\$ 0.008	\$ 0.010	\$ 0.013	\$ 0.013	\$ 0.008	\$ -	\$ 0.052
		TOTAL	\$ 0.237	\$ 0.597	\$ 1.227	\$ 1.326	\$ 0.028	\$ -	\$ 3.415
Kingston #131 Equipment Replacement	(+/- 25%)	CAPEX	\$ 0.400	\$ 3.361	\$ 8.403	\$ 1.681	\$ 2.961	\$ -	\$ 16.806
		OPEX	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		REMOVAL	\$ 0.080	\$ 0.240	\$ 0.400	\$ 0.080	\$ -	\$ -	\$ 0.800
		TOTAL	\$ 0.480	\$ 3.601	\$ 8.803	\$ 1.761	\$ 2.961	\$ -	\$ 17.606
Totals	(+/- 25%)	CAPEX	\$ 1.097	\$ 4.572	\$ 10.397	\$ 3.774	\$ 3.449	\$ -	\$ 23.289
		OPEX	\$ 0.044	\$ 0.060	\$ 0.074	\$ 0.074	\$ 0.044	\$ -	\$ 0.296
		REMOVAL	\$ 0.114	\$ 0.285	\$ 0.457	\$ 0.137	\$ 0.034	\$ -	\$ 1.027
		TOTAL	\$ 1.255	\$ 4.917	\$ 10.928	\$ 3.985	\$ 3.527	\$ -	\$ 24.612

The Narragansett Electric Company
d/b/a Rhode Island Energy
RIPUC Docket No. 25-54-EL

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division's Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-22, page 3

Table 2 – Revised Estimates

Title	Accuracy	Spend Type (\$M)	FY 2025	FY 2026	FY 2027	FY 2028	FY 2029	FY 2030	FY 2031+	Total
Coventry #54 Sub Relocation	(+/- 25%)	CAPEX		\$1.028	\$0.701	\$1.345	\$1.591	\$0.000		\$4.665
		OPEX		\$0.031	\$0.021	\$0.040	\$0.164	\$0.000		\$0.257
		REMOVAL		\$0.031	\$0.021	\$0.040	\$0.339	\$0.000		\$0.431
		TOTAL	\$0.000	\$1.090	\$0.743	\$1.426	\$2.393	\$0.000	\$0.000	\$5.353
Hope #15 Equipment Replacement	(+/- 25%)	CAPEX		\$0.294	\$1.155	\$1.113	\$1.451	\$0.000		\$4.013
		OPEX		\$0.009	\$0.035	\$0.033	\$0.132	\$0.000		\$0.209
		REMOVAL		\$0.009	\$0.035	\$0.033	\$0.048	\$0.000		\$0.125
		TOTAL	\$0.000	\$0.312	\$1.224	\$1.180	\$2.663	\$0.000	\$0.000	\$4.347
Kingston #131 Equipment Replacement	(+/- 25%)	CAPEX	\$0.153	\$0.022	\$0.618	\$4.172	\$3.000	\$10.000	\$6.984	\$24.949
		OPEX	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000	\$0.000
		REMOVAL	\$0.000	\$0.000	\$0.390	\$0.610	\$0.126	\$0.000	\$0.000	\$1.126
		TOTAL	\$0.153	\$0.022	\$1.008	\$4.782	\$3.126	\$10.000	\$6.984	\$26.075
Totals	(+/- 25%)	CAPEX	\$0.153	\$1.344	\$2.474	\$6.630	\$6.043	\$10.000	\$6.984	\$33.628
		OPEX	\$0.000	\$0.040	\$0.056	\$0.074	\$0.297	\$0.000	\$0.000	\$0.466
		REMOVAL	\$0.000	\$0.040	\$0.446	\$0.684	\$0.513	\$0.000	\$0.000	\$1.682
		TOTAL	\$0.153	\$1.423	\$2.976	\$7.387	\$6.852	\$10.000	\$6.984	\$35.775

Prepared by or under the supervision of: Ryan Constable

The Narragansett Electric Company
d/b/a Rhode Island Energy
RIPUC Docket No. 25-54-EL

In Re: Proposed FY 2027 Electric Infrastructure, Safety and Reliability Plan
Responses to the Division's Fourth Set of Data Requests
Issued on January 12, 2026

Division 4-22, page 4

Table 3 – Original Estimates Adjusted For Inflation (Handy-Whitman)

Title	Accuracy	Spend Type (\$M)	FY 2025	FY 2026	FY 2027	FY 2028	FY 2029	FY 2030	FY 2031+	Total
Coventry #54 Sub Relocation	(+/- 25%)	CAPEX		\$1.028	\$0.701	\$1.345	\$2.045	\$-		\$5.119
		OPEX		\$0.031	\$0.021	\$0.040	\$0.164	\$-		\$0.257
		REMOVAL		\$0.031	\$0.021	\$0.040	\$0.183	\$-		\$0.275
		TOTAL	\$-	\$1.090	\$0.743	\$1.426	\$2.393	\$-	\$-	\$5.651
Hope #15 Equipment Replacement	(+/- 25%)	CAPEX		\$0.294	\$1.155	\$1.113	\$2.526	\$-		\$5.088
		OPEX		\$0.009	\$0.035	\$0.033	\$0.132	\$-		\$0.209
		REMOVAL		\$0.009	\$0.035	\$0.033	\$0.005	\$-		\$0.082
		TOTAL	\$-	\$0.312	\$1.224	\$1.180	\$2.663	\$-	\$-	\$5.379
Kingston #131 Equipment Replacement	(+/- 25%)	CAPEX	\$0.400	\$1.150	\$3.500	\$16.639	\$4.100	\$-	\$-	\$25.789
		OPEX	\$-	\$-	\$-	\$-	\$-	\$-	\$-	\$-
		REMOVAL	\$0.080	\$0.390	\$0.610	\$0.126	\$-	\$-	\$-	\$1.206
		TOTAL	\$0.480	\$1.540	\$4.110	\$16.764	\$4.100	\$-	\$-	\$26.994
Totals	(+/- 25%)	CAPEX	\$0.400	2.472	\$5.356	\$19.097	\$8.671	\$-	\$-	\$35.996
		OPEX	\$-	\$0.040	\$0.056	\$0.074	\$0.297	\$-	\$-	\$0.466
		REMOVAL	\$0.080	0.430	\$0.665	\$0.199	\$0.188	\$-	\$-	\$1.563
		TOTAL	\$0.480	\$2.941	\$6.077	\$19.370	\$9.156	\$-	\$-	\$38.025

Prepared by or under the supervision of: Ryan Constable

Division 4-23

Other

Request:

Provide the project closeout documents for Dyer Street Substation and Southeast Substation.

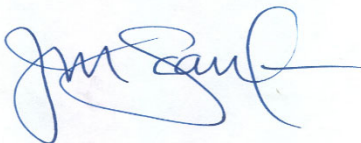
Response:

Dyer Street Substation Project and the Southeast Substation Project are in the close out phase of the project life cycle. Final reports for both projects will be available once the close out process is complete. The Company is estimating that all documentation will be complete in Q2 FY 2027.

Certificate of Service

I hereby certify that a copy of the cover letter and any materials accompanying this certificate was electronically transmitted to the individuals listed below.

The paper copies of this filing are being hand delivered to the Rhode Island Public Utilities Commission and to the Rhode Island Division of Public Utilities and Carriers.



Joanne M. Scanlon

January 30, 2026
Date

**Docket No. 25-54-EL – RI Energy’s Electric ISR Plan FY 2027
Service List as of 1/9/2026**

Name/Address	E-mail Distribution	Phone
The Narragansett Electric Company d/b/a Rhode Island Energy Jennifer Brooks Hutchinson, Esq. 280 Melrose St. Providence, RI 02907 Adam S. Ramos, Esq. Hinckley Allen 100 Westminster Street, Suite 1500 Providence, RI 02903-2319	JHutchinson@pplweb.com ;	401-316-7429
	cobrien@pplweb.com ;	
	jscanlon@pplweb.com ;	
	aramos@hinckleyallen.com ;	
	AGiron@hinckleyallen.com ;	
	sbriggs@pplweb.com ;	
	KMCampbell@RIEnergy.com ;	
	PLaFond@RIEnergy.com ;	
	NKocon@RIEnergy.com ;	
	JADenson@pplweb.com ;	
	CMBird@RIEnergy.com ;	
	smtoronto@RIEnergy.com ;	
	ATLaBarre@RIEnergy.com ;	
	rconstable@RIEnergy.com ;	
	krcastro@RIEnergy.com ;	
	CJRooney@RIEnergy.com ;	
	joliveira@pplweb.com ;	
TGShields@pplweb.com ;		
nhawk@pplweb.com ;		
PDCapwell@RIEnergy.com ;		
PJWalnock@pplweb.com ;		

	CAGill@RIEnergy.com ;	
	EMcCord@RIEnergy.com ;	
Division of Public Utilities (Division) Gregory Schultz, Esq. Margaret Hogan, Esq.	Gregory.Schultz@dpuc.ri.gov ;	
	Margaret.I.hogan@dpuc.ri.gov ;	
	Ellen.golde@dpuc.ri.gov ;	
	John.bell@dpuc.ri.gov ;	
	Al.contente@dpuc.ri.gov ;	
	Robert.Bailey@dpuc.ri.gov ;	
	Christy.Hetherington@dpuc.ri.gov ;	
	leo.wold@dpuc.ri.gov ;	
	mark.a.simpkins@dpuc.ri.gov ;	
	kyle.j.lynch@dpuc.ri.gov ;	
	jvanreen@vanreenaccounting.com ;	
	dschmelzer@vanreenaccounting.com ;	
David Effron Berkshire Consulting 12 Pond Path North Hampton, NH 03862-2243	Djeffron@aol.com ;	603-964-6526
Gregory L. Booth, PLLC 14460 Falls of Neuse Rd. Suite 149-110 Raleigh, N. C. 27614	gboothpe@gmail.com ;	919-441-6440
Linda Kushner L. Kushner Consulting, LLC 514 Daniels St. #254 Raleigh, NC 27605	Lkushner33@gmail.com ;	919-810-1616
Office of Energy Resources Adam Fague, Esq.	adam.fague@doa.ri.gov ;	
	nancy.russolino@doa.ri.gov ;	
	Christopher.Kearns@energy.ri.gov ;	
	Shauna.Beland@energy.ri.gov ;	
	William.Owen@energy.ri.gov ;	
	david.augustyn@energy.ri.gov ;	
Office of Attorney General Nick Vaz, Esq. 150 South Main St. Providence, RI 02903	nvaz@riag.ri.gov ;	401-274-4400 x 2297
	mgomes@riag.ri.gov ;	
Conservation Law Foundation (CLF) James Rhodes, Esq. Conservation Law Foundation 235 Promenade Street Suite 560, Mailbox 28 Providence, RI 02908	jrhodes@clf.org ;	401-225-3441
File an original & 9 copies w/ PUC:	stephanie.delarosa@puc.ri.gov ;	401-780-2107

Stephanie De La Rosa, Commission Clerk Public Utilities Commission 89 Jefferson Blvd. Warwick, RI 02888	Cynthia.WilsonFrias@puc.ri.gov ;	
	Todd.bianco@puc.ri.gov ;	
	Alan.nault@puc.ri.gov ;	
	Kristen.L.Masse@puc.ri.gov ;	
Matt Sullivan, Green Development LLC	ms@green-ri.com ;	
Emily Koo, Director, Acadia Center	EKoo@acadiacenter.org ;	