

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT		1. CONTRACT ID CODE	PAGE OF PAGES 1 6
2. AMENDMENT/MODIFICATION NO. 000003	3. EFFECTIVE DATE 11/20/2009	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
6. ISSUED BY EMCBC U.S. Department of Energy EM Consolidated Business Center 250 E. 5th Street, Suite 500 Cincinnati OH 45202	CODE 03001	7. ADMINISTERED BY (If other than Item 6)	CODE
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)		(x) 9A. AMENDMENT OF SOLICITATION NO. DE-FOA-0000148	
		x 9B. DATED (SEE ITEM 11) 09/16/2009	
		10A. MODIFICATION OF CONTRACT/ORDER NO.	
		10B. DATED (SEE ITEM 11)	
CODE	FACILITY CODE		

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended, is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning 0 copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGEMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)

13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

CHECK ONE	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
	D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return _____ copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)

DE-FOA-0000148 Amendment 3

Summary of Major Changes

1. COVER SHEET: The Department of Energy Logo has been updated.

2. TABLE OF CONTENTS: Items have been updated as a result of changes made to FOA-0000148 in this Amendment 3.

3. SECTION I FUNDING OPPORTUNITY DESCRIPTION

Continued ...

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print)	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Karen L. Bahan
15B. CONTRACTOR/OFFEROR <i>(Signature of person authorized to sign)</i>	16B. UNITED STATES OF AMERICA <i>(Signature of Contracting Officer)</i>
15C. DATE SIGNED	16C. DATE SIGNED

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ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>a.Part D, Topic Area 1: The Retrofit Ramp-up Program Description has been amended as follows:</p> <ul style="list-style-type: none"> i. Eligibility Under Topic One: Information has been consolidated and clarified into Section III, Eligibility Information. ii. Table under Formula-Eligible Units of Local Governments and Formula-Eligible Indian Tribes has been amended as follows: <ul style="list-style-type: none"> 1.Fourth Column Title has been amended from: Formula-ineligible unit of local government or Indian tribe, to: Formula-ineligible unit of local government and Formula-ineligible Indian tribe. 2.Fourth Row Title has been amended from Amount required to be provided as subgrants to units of local government that are not eligible units of local government, to Amount required to be provided as subgrants to formula-ineligible units of local government. <p>b.Part E, Topic Area 2: The General Innovation Fund for Local Governments and State-Recognized Tribes Not Eligible for Direct Formula Grants: Work Description has been amended as follows:</p> <ul style="list-style-type: none"> i.Title has been changed to: Topic Area 2: The General Innovation Fund for Formula-Ineligible Local Governments and Formula-Ineligible Tribes: Work Description ii. First paragraph, second sentence has been amended FROM The entities found at the following link are not eligible for Topic 2, see www.eecbg.energy.gov, TO The entities found on the grant allocation pages available at the following link are not eligible for Topic 2: www.eecbg.energy.gov iii. Eligibility Under Topic 2: The information has been consolidated and clarified into Section III, Eligibility Information. iv. Program Structure, first paragraph, first sentence and section #1 have been amended FROM Topic 2 of this FOA provides financial assistance to units of local governments (and State-recognized Indian tribes) that are not formula-eligible entities to implement program that 1. Contribute to meaningful and sustainable market transformation (are broadly replicable and scalable and/or bring a significant benefit to other units of local government and Continued ... 				

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	<p>State-recognized Indian tribes through the successful execution of an outcome or deliverable), TO Topic 2 of this FOA provides financial assistance to formula-ineligible units of local governments and formula-ineligible Indian tribes to implement program that 1. Contribute to meaningful and sustainable market transformation (are broadly replicable and scalable and/or bring a significant benefit to other formula-ineligible units of local government and formula-ineligible Indian tribes through the successful execution of an outcome or deliverable)</p> <p>v.Limitations on the use of funds for Topic 2. has been amended FROM UNIT OF LOCAL GOVERNMENT (OR STATE-RECOGNIZED INDIAN TRIBE) THAT IS NOT A FORMULA-ELIGIBLE ENTITY, TO FORMULA-INELIGIBLE UNIT OF LOCAL GOVERNMENT OR FORMULA-INELIGIBLE INDIAN TRIBE</p> <p>4.SECTION III - ELIGIBILITY INFORMATION</p> <p>a.This section has been amended to:</p> <p>i.Consolidate/clarify all the eligibility information for Topics 1 and 2.</p> <p>ii. Consolidate/clarify the discussion of multiple applications.</p> <p>iii. Clarify the "highest-level-of-government" requirement.</p> <p>iv. Clarify the requirements for applying "on behalf of", and add an "on behalf of" letter to the list of required documents on page 31.</p> <p>v.Clarify that consortia must designate a prime applicant.</p> <p>vi. Clarify the terms "Unit of local government (or Indian tribe) that is not eligible for direct formula grants" to "formula-ineligible units of local government" and formula-ineligible Indian tribes.</p> <p>5.SECTION IV APPLICATION AND SUBMISSION INFORMATION</p> <p>a.Section B, Letter of Intent and Pre-Application, Paragraph 1, Letter of Intent Requested. A paragraph was added to note that the Department of Energy is not obligated to respond to Letters of Intent and will not conduct a compliance or completeness review.</p> <p>b.Section C, Content and Form of Application. Continued ...</p>				

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	<p>i.A note was added before the Summary of Required Forms/Files stating:</p> <p>Letter(s) of Authorization to Apply on Behalf of an Entity If the application is being submitted by an organization on behalf of an entity, the application must include a letter from the highest level of governance of that entity authorizing the organization to apply for, receive funds, and administer an award on its behalf. The letter must be signed and be on official letterhead of the entity. Organizations applying on behalf of multiple entities must submit letters for each such entity.</p> <p>ii. Letter(s) of Authorization to Apply on Behalf of an Entity was added to the summary table.</p> <p>6.REFERENCE MATERIAL</p> <p>a.Appendix A Definitions. The following definitions were added:</p> <p>i.Formula-eligible Indian tribe means an Indian tribe that was eligible for direct funding under the EECBG formula. A list of formula eligible Indian tribes can be found on the program website, http://www.eecbg.energy.gov.</p> <p>ii. Formula-eligible unit of local government means a unit of local government that was eligible for direct funding under the EECBG formula. A list of formula eligible local governments can be found on the program website, http://www.eecbg.energy.gov.</p> <p>iii. Formula-ineligible Indian tribe means a State-recognized Indian tribe that was not eligible for direct funding under the EECBG formula.</p> <p>iv. Formula-ineligible unit of local government means a city that Is listed in the 2007 Governments Integrated Directory (GID) as an incorporated entity; Is identified by the 2007 Census of Governments as having a governance structure consisting of an elected official and governing body; Has a governing structure, as indicated by the Continued ...</p>				

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	<p>2007 Census of Governments publication, with the capabilities and jurisdiction necessary to carry out the broad range of EECBG programs, or with the capabilities and jurisdiction necessary to carry out the broad range of EECBG programs, as demonstrated by the applicant; and</p> <p>Was not eligible for direct funding under the EECBG formula.</p> <p>v. Quasi-governmental Organization means an organization that operates like, or has responsibilities similar to, a unit of government.</p> <p>vi. State means the 50 United States, the District of Columbia and the following Territories of the United States: Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands.</p> <p>b.A link was provided for a list of Federally Funded Research and Development Centers and information about their sponsoring Agencies: http://www.nsf.gov/statistics/ffrdc/ .</p> <p>This funding opportunity announcement (FOA) is seeking innovative state, local government and Indian tribe programs funded under the Recovery Act. This FOA will use up to \$453.72 million in Recovery Act Energy Efficiency and Conservation Block Grant (EECBG) funds for competitive grants awarded in two (2) topic areas. Topic 1, the Retrofit Ramp-up Program, provides up to \$390.04 million for programs of \$5 to \$75 million for 8 to 20 awards. Topic 2, The General Innovation Fund, is for competitive grants that are reserved for units of local government and state-recognized tribes not eligible for direct formula grants, as per the Energy Independence and Security Act of 2007 requirements. Topic 2 provides up to \$63.68 million (approximately 2 percent of \$3.2 billion) for projects of \$1 to \$5 million for 15 to 60 awards.</p> <p>The goal of this competitive FOA is to stimulate activities that move beyond traditional public awareness campaigns, program maintenance, demonstration projects, and other one-time strategies and projects. DOE seeks to stimulate activities and investments which can: Continued ...</p>				

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	<p>- Fundamentally and permanently transform energy markets in a way that make energy efficiency and renewable energy the options of first choice; and</p> <p>- Sustain themselves beyond the grant monies and the grant period by designing a viable strategy for program sustainability into the overall program plan.</p> <p>In this FOA, DOE is seeking applications which:</p> <ul style="list-style-type: none"> - Leverage the participation and support of multiple local jurisdictions, regional planning agencies, and state energy offices; - Prioritize energy efficiency and/or energy conservation as first in the loading order before investments are made in new generation; however, DOE is interested in applications that integrate cost-effective renewables with efficiency. - Move beyond the planning stage and ready for implementation; - Clearly articulate and demonstrate the ability to achieve measurable stretch goals and that have the potential to make an impact at the regional or national level; and - Maximize the creation and/or retention of jobs in the United States. 				