

Modification Request Summary

- Approximately \$475 million to remain in ARRA funds as of March 31, 2012
- 52 grantees requested modifications
- 6 grantees will stay on course to complete by March 31, 2012
- 31 grantees requested 6 months or less to complete ARRA
- 11 have asked for a 90 day window to ensure full expenditure
- 7 grantees requested more than a year to expend ARRA funds

Next Steps

- Final concurrence on the requests provided by HQ - 1/6/12
- Project Officers to contact grantees to authorize submission of modifications through PAGE – 1/9/12
- POs will be responsible for the technical review of modifications similar to other grant amendments – 3/1/12
- Contract Officers at NETL to approve modifications – 3/31/12

2012 Program Year Allocation to Grantees

- **2012 Appropriation** - \$68,000,000 (\$65 mil formula to Grantees; \$3 mil HQ T&TA)
- **Use of Formula** – Omnibus provides the DOE Secretary the right to waive the formula in 2012; requires grantees to expend 2011 funds before accessing 2012 funds
- **Proposed Allocation** – Intend to provide allocation to only those grantees that require funds to reach the end of their 2012 Program Year.

Logic Model for 2012 Allocation

- Use the current spend rate for all Grantees as long as ARRA Performance Period remains active
- Average monthly expenditures calculated by using Grantee payments data from the months of December 2010 through November 2011
- Grantees with Performance Period Modifications ending before the end of PY 2012 will have a different projected spend rate for all months after that period
- The post ARRA Spend Rate is derived from pre ARRA performance and an average of both FY 2007 and FY 2008 payments data
- If the current 12 month average is greater than the average of both PY 2007 and FY 2008 the grantee is expected to continue to spend at the current 12 month average until the end of PY 2012
- Performance Period Modifications are determined based on the recommendations of each Grantee's Project Officer backed by the Recovery Act Formula Grant Spend Rate Analysis
- Grantees with current unspent funds as of November 30th, 2011 greater than the projected amount to be spent through PY 2012 will not receive additional PY 2012 Allocations
- Grantees who are not able to function at a PY 2011 funding level will received a 2012 Allocation equivalent to a percentage of their PY 2011 Allocation
- Once final 2012 Allocation figures are available, Grantees will have 5 days to provide any information that could alter the decision of DOE

Select Grantee Name

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Logic Model

For PY 2012 Base Allocation: The projected funds balances remaining at the beginning of PY 2012 and required throughout PY 2012 were calculated as follows:

- The current spend rate for all grantees during the time when their ARRA Performance Period Modification remains in place is a 12 month average using Grantee payments data from the months of December 2010 through November 2011.
- Grantees with Performance Period Modifications ending before the end of PY 2012 will have a different projected spend rate for all months after the end of the Performance Period Modification. The post ARRA Spend Rate is derived from pre ARRA performance and is an average of both FY 2007 and FY 2008 payments data. If the current 12 month average is greater than the average of both PY 2007 and FY 2008 the grantee is expected to continue to spend at the current 12 month average until the end of PY 2012 and not slow down.
- Performance Period Modifications are determined based on the recommendations of each Grantee's Project Officer backed by the Recovery Act Formula Grant Spend Rate Analysis provided to Grantees on December 7th, 2011. Current dates reflected are estimates.
- Grantees with current unspent funds as of November 30th, 2011 that are greater than the project amount spent through PY 2012 will not receive additional PY 2012 Allocations. Any Grantee who is not already able to function at a PY 2011 funding level will receive a 2012 Allocation equivalent to a percentage of their PY 2011 Allocation.

PY 2012 Base Spend Rate Comparison

	Date	Number of Month	\$ 327,703	\$ 236,109
Estimated End of ARRA Modification Period	3/31/2012	4 Months	Projected Post ARRA Spend Rate	Current 12 Month Spend Rate Average (Dec '10 - Nov '11)
PY 2012 Start Date/Number of Months Away	4/1/2012	4 Months		
PY 2013 Start Date/Number of Months Away	4/1/2013	16 Months		

*Dates Count Down from 12/1/2011

PY 2012 Base Funding Calculations

\$ 8,733,485	-	\$ 1,036,030	=	\$ 7,697,454				
Unspent Funds on 11/30/2011		Estimated Funds Spent Before PY 2012		Estimated Funds Unspent at the Start of PY 2012				
PY 2012 Base Funding Requirements Based on Projected Spending Derived From Past Data	>>	\$ 7,697,454	-	\$ 3,932,435	=	\$ 3,765,019		
		Estimated Funds Unspent at the Start of PY 2012		Estimated Funds Spent During PY 2012		Base Funding Surplus after PY 2012 Estimated Spending		
PY 2012 Base Funding Requirement	>>	\$ 7,697,454	+	\$ -	-	\$ 3,932,435	=	\$ 3,765,019
		Estimated Funds Unspent at the Start of PY 2012		PY 2012 Base Allocation		Estimated Funds Spent During PY 2012		Base Funds Surplus after PY 2012

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Logic Model

For PY 2012 Base Allocation: The projected funds remaining at the beginning of PY 2012 and required in PY 2012 were calculated as follows:

- The current spend rate for all grantees during the time when their ARRA Performance Period Modification remain in place is a 12 month average using Grantee payments data from the months of December 2010 through November 2011.
- Grantees with Performance Period Modifications ending before the end of PY 2012 will have a different projected spend rate for all months after the end of the Performance Period Modification. The post ARRA Spend Rate is derived from pre ARRA performance and is an average of both FY 2007 and FY 2008 payments data. If the current 12 month average is greater than the average of both PY 2007 and FY 2008 the grantee is expected to continue to spend at the current 12 month average until the end of PY 2012 and not slow down.
- Performance Period Modifications are determined based on the recommendations of each Grantee's Project Officer backed by the Recovery Act Formula Grant Spend Rate Analysis provided to Grantees on December 7th, 2011. Current dates reflected are estimates.
- Grantees with current unspent funds as of November 30th, 2011 that is greater than the project amount spent through PY 2012 will not receive additional PY 2012 Allocations. Any Grantee who is not already able to function at a PY 2011 funding level will received a 2012 Allocation equivalent to a percentage of their PY 2011 Allocation.

PY 2012 Base Spend Rate Comparison

	Date	Number of Month	\$ 372,827	\$ 372,827
Estimated End of ARRA Modification Period	3/31/2012	4 Months	Projected Post ARRA Spend Rate	Current 12 Month Spend Rate Average (Dec '10 - Nov '11)
PY 2012 Start Date/Number of Months Away	4/1/2012	4 Months		
PY 2013 Start Date/Number of Months Away	4/1/2013	16 Months		

*Dates Count Down from 12/1/2011

PY 2012 Base Funding Calculations

\$ 4,369,519 Unspent Funds on 11/30/2011	-	\$ 1,491,307 Estimated Funds Spent Before PY 2012	=	\$ 2,878,213 Estimated Funds Unspent at the Start of PY 2012				
PY 2012 Base Funding Requirements Based on Projected Spending Derived From Past Data	>>	\$ 2,878,213	-	\$ 4,473,920 Estimated Funds Spent During PY 2012	=	\$ (1,595,707) Base Funding Surplus after PY 2012 Estimated Spending		
PY 2012 Base Funding Requirement	>>	\$ 2,878,213	+	\$ 3,491,374 PY 2012 Base Allocation	-	\$ 4,473,920 Estimated Funds Spent During PY 2012	=	\$ 1,895,667 Base Funds Surplus

Timeline for Actions

Several key deadlines must be met for State Plan submissions:

- Webinar with Grantees to review allocation logic and process – **1/5/12**
- Approval of S1 for waiving of formula and alternate allocation scheme – **1/10/12**
- Notification of proposed allocation to Grantees for additional information request to Project Officers – **1/27/12**
- Funding Opportunity Announcement released from Golden Field Office Procurement announcing 2012 allocation to select grantees – **2/03/12**
- State Plan submissions to GFO and any 2012 modifications for rollover funds submitted to NETL – **3/31/12**