



U.S. Department  
of Transportation  
**Pipeline and Hazardous  
Materials Safety  
Administration**

1200 New Jersey Avenue SE  
Washington DC 20590

## PIPELINE SAFETY

### 2011 State Damage Prevention Grant

for

### VERMONT DEPARTMENT OF PUBLIC SERVICE

Please follow the directions listed below:

1. Review the entire document for completeness.
2. Review and have an authorized signatory sign page 2.
3. Fasten all pages with a paper or binder clip - no staples please as this package will be scanned upon it's arrival at PHMSA.
4. Mail the entire document, including this cover page to the following:

**ATTN: Maria Munoz  
U.S. Department of Transportation  
Pipeline & Hazardous Materials Safety Administration  
Office of Contracts and Procurement (PHA-30)  
1200 New Jersey Avenue, SE Second Floor E22-305  
Washington, D.C. 20590**

#### **FedSTAR Information**

Submission Date: 9/8/2010 11:43:38 AM



**Pipeline and Hazardous Materials Safety Administration**  
**1200 New Jersey Avenue, SE**  
**Washington DC 20590**

DEPARTMENT OF TRANSPORTATION

APPLICATION

2011 GRANT PROGRAM IN SUPPORT OF STATE DAMAGE PREVENTION

The VERMONT DEPARTMENT OF PUBLIC SERVICE hereby applies to the Department of Transportation for Federal funds appropriated for the support of State Damage Prevention Programs established under 49 U.S.C. Section 60134 et seq.

The State agency plans to carry out the State Damage Prevention Program, during calendar year 2011, as described in Attachment 1, "Project Abstract/Statement of Objectives". To accomplish the program, the state agency proposes to expend funds as set forth in Attachment 4, "State Damage Prevention Estimated Budget".

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Signature

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Title

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Date

## Project Abstract/Statement of Objectives

**Please provide a clear and concise description of the work this grant will fund for calendar year 2011**

This grant focuses on operational performance and proposes to conduct a trial of an innovative technology that addresses Element 8: Technology. The technology to be tested is the Virtual WhiteLine system developed by CertusView Solutions. The system is a technological damage prevention solution designed to enhance the effectiveness of communication between excavators and facility operators.

The project will examine the impact of the system in conjunction with a one-call center's existing protocols. In the initial stage of the VWL process the excavator generates a permanent electronic record of the excavation area as part of a one-call locate request made via the internet. These records consist of high-resolution aerial images of the excavator's job site based on the address or GPS data contained in the locate request. The excavator then "draws" on the image to delimit the intended dig area and submits the record to the system. The one-call center distributes the VWL record along with a one-call transmission to facility operators and/or their contract locators. At a random selection of job sites, the VWL record will be utilized by facility locators as high-definition visual references to accompany the textual reference contained in the one-call transmission. If fully implemented the system may eliminate the need for on the ground marking and provide a permanent record of the scope of the proposed work.

The project will monitor activities related to excavation performed for Vermont Gas Systems Inc. and the associated actions performed by the One Call Center and the gas facility locators in Chittenden County, VT. The project will develop data collection and stakeholder feedback mechanisms to analyze the outcomes of a repeated measures experimental design that will test the efficacy of the system. Results of the project will be available to underground stakeholders for evaluation of the system. Preliminary analysis suggests the system's deployment may result in: lower facility damage rates, fewer excavator job site visits and greater locator efficacy.

The results of the work that is performed under this grant will have benefits that extend beyond Vermont. The Dig Safe Center is a regional facility that administers a 5 state area. Their learning from the trial will be immediately applicable to this entire geographic area. The analysis, while focused on Vermont, should be extendable to other localities. The Vermont Department of Public Service will notify damage prevention stakeholders of the availability of a written report including the results of the analysis performed and the recommendations generated from it. PHMSA will be able to leverage their investment across all interested States.

The work described in this grant application will be performed by Norwich University and its Center for the Integrated Study of the Built Environment (CISBE), under the direction of the Vermont Department of Public Service. CISBE is a research center focused on bringing together multiple academic disciplines to address issues in the built environment. It is anticipated that, individuals from Computing, Civil Engineering and Business will be involved in this project. The Principal Investigator for this project is Dr. Michael Puddicombe. The focus of his research has been on increasing performance in the Architectural, Engineering and Construction (AEC) industry via information technology and new organizational forms. Prior to his entry into academia he spent 20 years in all facets of the AEC industry. He has significant hands on experience with underground utility work.

## State Damage Prevention Elements

### **ELEMENT 1 - EFFECTIVE COMMUNICATIONS**

"Participation by operators, excavators, and other stakeholders in the development and implementation of methods for establishing and maintaining effective communications between stakeholders from receipt of an excavation notification until successful completion of the excavation, as appropriate."

**Does the proposed project address this element? (Required)** No

**Describe any existing state initiatives that support this element: (Required)**

Dig Safe Systems Inc. serves as the one call center for the state of Vermont providing toll-free access Monday-Friday, 6:00am-6:00pm and 24 hour online access to ticket submission. Dig Safe System will also relay requests for pre-excavation meetings and reports of unknown or mis-marked facilities to utility operators. The Vermont Public Service Department (PSD) distributes a packet of information to a maintained list of contractors and excavators explaining the damage prevention laws and describing the resources available to them, such as pre-excavation meetings and dispute resolution services. Recently an outreach initiative directed at municipalities and non-member utilities has been undertaken to explain the benefits of OCC membership.

**ELEMENT 2 - COMPREHENSIVE STAKEHOLDER SUPPORT**

"A process for fostering and ensuring the support and partnership of stakeholders, including excavators, operators, locators, designers, and local government in all phases of the program."

**Does the proposed project address this element? (Required) No**

**Describe any existing state initiatives that support this element: (Required)**

In 2007 a local chapter of the New England Managing Underground Safety and Training (MUST) group was established in Vermont. MUST is comprised of members from utility operators, excavators, the one call center and the public service department. This group serves primarily to provide training opportunities to contractors and excavators, but also holds quarterly meetings to discuss PSD and Common Ground Alliance (CGA) initiatives, damage incident trends, new technologies, and hear concerns from utility operators and excavators regarding damage prevention.

**ELEMENT 3 - OPERATOR INTERNAL PERFORMANCE MEASUREMENT**

"A process for reviewing the adequacy of a pipeline operator's internal performance measures regarding persons performing locating services and quality assurance programs."

**Does the proposed project address this element? (Required) No**

**Describe any existing state initiatives that support this element: (Required)**

Many major utilities and contract locators report utilizing some form of a quality assurance program for persons performing locating services. These programs range from a quarterly review of locates performed with onsite spot checks to a performance review triggered when the locator is found to be responsible for a damage incident. Although not required by law for most utility operators, the PSD strongly encourages the adoption of a damage prevention plan and has provided a template for such a plan, which includes a quality assurance program for locators.

**ELEMENT 4 - EFFECTIVE EMPLOYEE TRAINING**

"Participation by operators, excavators, and other stakeholders in the development and implementation of effective employee training programs to ensure that operators, the one call center, the enforcing agency, and the excavators have partnered to design and implement training for the employees of operators, excavators, and locators."

**Does the proposed project address this element? (Required)** No

**Describe any existing state initiatives that support this element: (Required)**

- Dig Safe Systems Inc. performs scheduled training sessions on one call center operations and use and works with specific groups to provide customized onsite training upon request.
  
- Dig Safe Systems Inc. produces and distributes an excavator manual to a list of contractors and excavators along with a packet of other information regarding one call center operations and the damage prevention system. This excavator manual, along with a damage prevention quiz are available online at [www.digsafe.com](http://www.digsafe.com).
  
- The Public Service Department holds 2-3 half day training sessions annually. Often a Dig Safe Systems Inc. and a MUST representative are invited to these sessions to present a module specific to their field of expertise.
  
- PSD staff is available to all utilities and contractors seeking advice on how to perform excavations. PSD staff will attend, in person or by phone, preconstruction meetings or meetings during the course of an excavation.
  
- MUST holds scheduled training sessions primarily in the Montpelier region (roughly 10 scheduled events in 2009). These are comprehensive training sessions covering a variety of damage prevention topics with safety as the underlying theme. Upon request, MUST will perform onsite training which is tailored to the audience.

**ELEMENT 5 - PUBLIC EDUCATION**

"A process for fostering and ensuring active participation by all stakeholders in public education for damage prevention activities."

**Does the proposed project address this element? (Required)** No

**Describe any existing state initiatives that support this element: (Required)**

Dig Safe Systems conducts a multifaceted public outreach campaign based on a marketing study performed by Delahaye Medialink in May 2003. This campaign consists of 30 second public service announcements airing on local and cable networks, 88 total radio spots on 10 local stations during the spring/summer months, and 21 total spots on 8 stations during the fall. In addition, Dig Safe distributes packages of table top displays including stickers, key chains, and excavator manuals to 55 equipment rental companies in Vermont. Several utilities including Vermont Gas Systems, Green Mountain Power, Central Vermont Public Service, Burlington Electric, and Vermont Electric Co-Op distribute bill stuffers detailing damage prevention information to customers annually. Pursuant to the requirements of US DOT 49 CFR Part 192 Sections 192.7 and 192.616, Public Awareness; DOT 49 CFR Part 192.911(m) Subpart O, Pipeline Integrity Management (External Communications Requirement Only). Vermont Gas undertakes additional outreach activities directed at the affected public, emergency officials, local public officials, and excavators.

**ELEMENT 6 - DISPUTE RESOLUTION**

"A process for resolving disputes that defines the State authority's role as a partner and facilitator to resolve issues."

**Does the proposed project address this element? (Required)** No

**Describe any existing state initiatives that support this element: (Required)**

The Public Service Department provides dispute resolution services to utility operators and excavators. Currently these services are not widely used; however the underground facility damage investigation process was reviewed regarding this. A draft process to include an informal conference between involved parties has been developed. The Public Service Board Rules would require revision(s) to officially adopt this proposed process. The Public Service Board is presently considering applicable Rule changes for this.

**ELEMENT 7 - ENFORCEMENT**

"Enforcement of State damage prevention laws and regulations for all aspects of the damage prevention process, including public education, and the use of civil penalties for violations assessable by the appropriate State authority."

**Does the proposed project address this element? (Required) No**

**Describe any existing state initiatives that support this element: (Required)**

Vermont Public Service Board rules 3.805 and 3.807 give authority to the Public Service Department and the Public Service Board for investigation into damage incidents and enforcement of the damage prevention law when a violation is discovered. Currently the Public Service Department utilizes an escalating fine schedule of not more than \$500.00 for the first offense, not more than \$1,000.00 for the second offense within one year of the date of the first offense, not more than \$1,500.00 for the third offense within one year of the first offense, and not more than \$5,000.00 for the fourth or subsequent offense within one year of the date of a previous offense.

**ELEMENT 8 - TECHNOLOGY**

"A process for fostering and promoting the use, by all appropriate stakeholders, of improving technologies that may enhance communications, underground pipeline locating capability, and gathering and analyzing information about the accuracy and effectiveness of locating programs."

**Does the proposed project address this element? (Required) Yes**

**Describe any existing state initiatives that support this element: (Required)**

The states of MA, ME, NH, RI and VT have designated and utilize a single One Call Center. This call center, DigSafe System, Inc, is a communication network assisting excavators, contractors and property owners in complying with state law by notifying the appropriate utilities before digging. It compares geographic mapping information provided by its member companies (operators of utilities and other underground facilities) with proposed excavation location descriptions which it receives via telephone or internet. Dig Safe System Inc. produces and retains a record related to each proposed excavation location. That record includes the excavator's narrative description of that area and the excavator's indication whether the project area location was physically pre-marked. When the excavation location description collates with the proximity of member's facilities, Dig Safe System Inc. notifies the appropriate member utilities (the majority receive this notification via the internet). In turn, these member utilities use the information it received from the one call center to respond to the work area and identify/mark the specific location of their underground facilities.

**Describe how the proposed project will enhance or continue implementation of this element: (Required only if proposal addresses this element)**

This project will focus on the feasibility and benefits of a technology which directly addresses Element 8. This technology also addresses three specific issues presented identified in the 2008 SDPP grant final report, released July 7, 2009. The Vermont Underground Utility Damage Prevention Improvement Program report is a comprehensive analysis of the existing Vermont Damage Prevention System, regarding the 9 Elements, and includes the following improvement opportunities.

" no formal systems exist to facilitate communication between operators and contractors " The project will examine the system's capability to enhance communications between operators and contractors by clearly communicating the boundaries of an intended dig area as a part of the internet ticket entry process.

" Locate and notification errors were the root cause of twenty-five percent (25%) of documented facility damages in the state of Vermont between 2005 and 2008. " Vague or unclear descriptions of an excavator's dig area are a common contributing factor to locate and notification errors. The project will examine whether the system gives locators more information about the scope of dig areas. This has the potential to allow them to make better decisions when marking underground facilities.

" reporting of incidents from both utility operators and excavators should include both the

quality and quantity of data available for program review analysis "

The project will examine the use of the system to provide spatial data with which to perform incident and damage prevention analysis. The visual reference of a dig area increases certainty of and streamlines damage investigations, while the dig area data that underlies the system records may inform future damage prevention program analysis and review.

There are three components to the trial. The first phase will involve the integration of the VWL system with the regional Dig Safe Center. During this phase of the trial CertusView (the software developer) will work closely with the Dig Safe Center to integrate the VWL software with their existing processes. Training will be provided for all affected stakeholders.

The second phase will gather data to test the efficacy of the technology through a randomized experiment employing a repeated measures experimental design. There will be two rounds of the experiment. In the first round stakeholders who log into the one call system will be randomly assigned to either access or not access the VWL system. In both cases the caller will be required to complete an on the ground pre-marking of the dig area. The first round data will be analyzed to ensure that there is a high correlation between the on the ground marking and the VWL mapping. At this point an option of no on the ground pre-marking may be introduced. During both rounds data will be gathered via structure face to face and telephone interviews.

The third phase consists of data analysis. The analysis will address the operational benefits and the negative effects that may be realized by each stakeholder. There are three primary questions that will be addressed: 1) Does the system lower damage rates 2) What are the economic benefits of the system and 3) Are locators more efficient and effective with the system? Any new system presents challenges and the VWL system will present different challenges to the various stakeholders. As part of the analysis we will quantify those challenges such that the stakeholders have a context that allows them to understand the costs and benefits of the system.

The final deliverable will be a report that chronicles the activities undertaken during the grant and the knowledge that resulted from those activities. Central to that report will be a series of recommendations relative the VWL system. This report will be made available by the Vermont Department of Public Service to all stakeholders.

**Estimated budget for this element: (Required only if proposal addresses this element)**

a. Personnel:	\$3,800.00
b. Fringe Benefits:	\$1,200.00
c. Travel:	\$0.00
d. Equipment:	\$0.00
e. Supplies:	\$0.00
f. Contractual:	\$94,926.00
g. Construction:	\$0.00
h. Other:	\$0.00
<b>i. Total Direct Charges (sum of a through h):</b>	<b>\$99,926.00</b>
j. Indirect Charges:	\$0.00
<b>k. TOTAL (sum of i and j):</b>	<b>\$99,926.00</b>

**Budget Narrative for this element: (Required only if proposal addresses this element)**

The Virtual While Lines trial is divided into three phases:

Software implementation and training

Field training and data collection

Data analysis and recommendations

Software implementation and training:

These activities include: resource allocations, drafting the project plan and procedures, defining roles and responsibilities, performing systems analysis, accessing web service, developing the user interface, testing the integrated systems, installing the application, providing training and finalizing knowledge transfer. It is anticipated that these activities would occur January-April. Based upon the information supplied by Dig Safe and CertusView we estimate that this phase will cost \$39,506. This consists of:

Programming \$28,000

Norwich University Principal Investigator \$10,506

Travel \$1,000

Field training and data collection:

In order to test the efficacy of the VWL system we will conduct an experiment that compares the current VGS process and the VGS/VWL process. These activities will occur February-August. Locate requests will be randomly assigned to each process and data will be gathered on the process and the outcomes. The data will come from the stakeholders: the consumer, the locator, and the excavator. The precise nature of the questions to be answered will be determined during this time in consultation with all involved stakeholders. The data will be gathered via a structured questionnaire completed through in person or telephone interviews. The estimated cost is \$39,161. This consists of:

Norwich University Principal Investigator \$24,513

Norwich University Student Researchers(s) \$10,148

Travel \$4,500

Data analysis and recommendations

The data will be analyzed using appropriate qualitative and quantitative methods and an evaluation of the system will be produced. This activity will occur from September-October. The estimated cost is \$16,259. This consists of:

Norwich University Principal Investigator \$15,759  
Travel \$500

Based on this estimate the cost of the trial is \$94,926. In addition there is a \$5,000 administrative cost for the State of Vermont. The total cost of the project is estimated to be \$99,926.

**ELEMENT 9 - DAMAGE PREVENTION PROGRAM REVIEW**

"A process for review and analysis of the effectiveness of each program element, including a means for implementing improvements identified by such program reviews."

**Does the proposed project address this element? (Required) No**

**Describe any existing state initiatives that support this element: (Required)**

The Public Service Department collects detailed information about damage incidents which occur within the State. This data is submitted to the DIRT reporting tool managed by the CGA, and used to inform PSD policies and initiatives. In 2008 the Public Service Department utilized a state damage prevention program grant from PHMSA to conduct a detailed analysis of the existing damage prevention program within Vermont. This resulted in a detailed report examining the status of each of the nine elements within Vermont in regards to CGA best practices, practices implemented by the one call center and utility operators, damage incident data, and stakeholder impressions of the system.

## **Legislative/Regulatory Actions**

**Provide a description of any legislature or regulatory actions (including legislative/regulatory studies) taken by the State within the past five (5) years pertaining to damage prevention program improvement, even if those actions were not completely successful.**

In 2008 the Vermont legislature passed Act 145 which made several changes to the Vermont Underground Damage Prevention law. This act serves to provide clarification by updating the definitions of "excavation activities", "powered or mechanized equipment", "hand tools", "verified utilities", and the "damage prevention program". Language was also added which clarifies the period for which an excavation notification is valid. More significantly Act 145 changed the penalty structure from a maximum fine of \$1000.00 to an escalating fine structure for successive violations of the damage prevention laws within one year of each other. The penalty for violation of any law, statute or regulation of gas safety was increased to a maximum of \$100,000.00 per violation with a maximum of \$1,000,000.00. A sunset provision on the requirement to pre-mark was removed, making pre-marking a permanent feature of the damage prevention program. Finally Act 145 mandated the creation of an appeals process before an independent adjudicator for appealing fines assessed for violation of the underground damage prevention law. In July of 2009 an assessment of the underground damage prevention program was completed by the University of Vermont. This study examined the current status of the underground damage prevention program in relation to the nine elements detailed in the PIPES act, and made a series of prioritized recommendations based on perceived benefit and feasibility. These recommendations have been used to inform the actions described in this solicitation.

**State Damage Prevention Estimated Budget - Calendar Year 2011**

**DIRECT COSTS**

Personnel .....	\$3,800.00
Fringe Benefits .....	\$1,200.00
Travel .....	
Equipment .....	
Supplies .....	
Contractual .....	\$94,926.00
Construction .....	
Other .....	
<b>Total Direct .....</b>	<b>\$99,926.00</b>

**INDIRECT COSTS**

Indirect Charges .....	
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**TOTAL ESTIMATED COSTS**

**\$99,926.00**

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**State Damage Prevention Application Attachments**

20100901.VT governors ltr.signed.pdf



JAMES H. DOUGLAS  
GOVERNOR



State of Vermont  
OFFICE OF THE GOVERNOR

September 1, 2010

Mr. Warren D. Osterberg  
Agreement Officer  
U.S. Department of Transportation  
Pipeline and Hazardous Materials Safety Administration  
Office of Contracts and Procurement (PHA-30)  
1200 New Jersey Avenue, SE, Room E22-103  
Washington, DC 20590

Re: Federal Grant Opportunity (solicitation) number DTPH56-11-SN-0001 for  
Calendar Year 2011

Dear Mr. Osterberg:

This letter is to verify that the Vermont Department of Public Service (DPS) is the appropriate state agency to apply for and receive any available federal grant funds associated with the state damage prevention program, which was authorized by the Pipeline Inspection, Protection, Enforcement, and Safety Act of 2006 (Pipes Act of 2006).

Any questions can be directed to G. C. Morris, Gas Utility Engineer, or Stephen Wark, Deputy Commissioner, Vermont Department of Public Service at (802) 828-2811.

Thank you for your consideration.

Sincerely,

A handwritten signature in black ink, appearing to read "James H. Douglas".

James H. Douglas  
Governor

JHD/pth

**Application for Federal Assistance SF-424**

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify) <input type="text"/>
--	--	---

* 3. Date Received: <input type="text" value="09/08/2010"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>
--	---

**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="03-6000274"/>	* c. Organizational DUNS: <input type="text" value="809376791"/>
--	---

**d. Address:**

* Street1:	<input type="text" value="112 State Street"/>
Street2:	<input type="text"/>
* City:	<input type="text" value="Montpelier"/>
County:	<input type="text"/>
* State:	<input type="text" value="VT: Vermont"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="05620-2601"/>

**e. Organizational Unit:**

Department Name: <input type="text"/>	Division Name: <input type="text"/>
--	--

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

Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="GC"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Morris"/>	
Suffix: <input type="text"/>	

Title:

Organizational Affiliation:

* Telephone Number: <input type="text" value="8028284073"/>	Fax Number: <input type="text"/>
---	----------------------------------

\* Email:

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

Pipeline & Hazardous Material Safety Administration

**11. Catalog of Federal Domestic Assistance Number:**

20.720

CFDA Title:

State Damage Prevention Program Grants

**\* 12. Funding Opportunity Number:**

DTPH56-11-SN-0001

\* Title:

State Damage Prevention Grants

**13. Competition Identification Number:**

Title:

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

**\* 15. Descriptive Title of Applicant's Project:**

VERMONT DEPARTMENT OF PUBLIC SERVICE State Damage Prevention

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

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

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="99,926.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="99,926.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

- Yes
- No

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**BUDGET INFORMATION - Non-Construction Programs**

OMB Approval No. 4040-0006  
Expiration Date 07/30/2010

**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 (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. State Damage Prevention Program		\$	\$	\$ 99,926.00	\$ 0.00	\$ 99,926.00
2.						
3.						
4.						
<b>5. Totals</b>		\$	\$	\$ 99,926.00	\$	\$ 99,926.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	SDP				
<b>a. Personnel</b>	\$ 3,800.00	\$	\$	\$	\$ 3,800.00
<b>b. Fringe Benefits</b>	1,200.00				1,200.00
<b>c. Travel</b>	0.00				
<b>d. Equipment</b>	0.00				
<b>e. Supplies</b>	0.00				
<b>f. Contractual</b>	94,926.00				94,926.00
<b>g. Construction</b>	0.00				
<b>h. Other</b>	0.00				
<b>i. Total Direct Charges (sum of 6a-6h)</b>	99,926.00				\$ 99,926.00
<b>j. Indirect Charges</b>	0.00				\$
<b>k. TOTALS (sum of 6i and 6j)</b>	\$ 99,926.00	\$	\$	\$	\$ 99,926.00
<b>7. Program Income</b>	\$	\$	\$	\$	\$

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Standard Form 424A (Rev. 7- 97)  
Prescribed by OMB (Circular A -102) Page 1A

**SECTION C - NON-FEDERAL RESOURCES**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8. <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
9. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
10. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
11. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>12. TOTAL (sum of lines 8-11)</b>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

**SECTION D - FORECASTED CASH NEEDS**

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input type="text"/>				
14. Non-Federal	\$ <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>15. TOTAL (sum of lines 13 and 14)</b>	\$ <input type="text"/>				

**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. <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
17. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
18. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
19. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>20. TOTAL (sum of lines 16 - 19)</b>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

**SECTION F - OTHER BUDGET INFORMATION**

21. Direct Charges: <input type="text"/>	22. Indirect Charges: <input type="text"/>
23. Remarks: <input type="text"/>	

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## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

<b>* APPLICANT'S ORGANIZATION</b>	
<input type="text" value="VERMONT DEPARTMENT OF PUBLIC SERVICE"/>	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Stephen"/> Middle Name: <input type="text"/>
* Last Name: <input type="text" value="Wark"/>	Suffix: <input type="text"/>
* Title: <input type="text" value="Deputy Commissioner"/>	
<b>* SIGNATURE:</b> <input type="text" value="GC Morris"/>	<b>* DATE:</b> <input type="text" value="09/08/2010"/>