

# SMART GRID GRANT PROGRAM RECIPIENT REPORTING GUIDANCE

## 1 DEPARTMENT OF ENERGY (DOE) CORPORATE REPORTING

To ensure projects are effectively managed and delivering on the goals of the American Recovery and Reinvestment Act (Recovery Act), DOE will collect data on project management and execution, risk management, job creation, and key project milestones, in addition to what is required by Section 1512 of the Recovery Act.

In most cases, monthly data will be used internally for managerial purposes only, but where DOE does intend to publicize monthly data, it will clearly indicate it to be “preliminary/informal and subject to change.”

Recipients are required to provide DOE information on, but not limited to, the following issues:

- **Monthly Project Execution Data:** Collecting data on project execution allows DOE and recipients to track performance against their Project Execution Plan (Clause 30-B of Award Agreement) and ensures the timely execution and allocation of resources to Recovery Act projects.
- **Monthly Risk Management Updates:** Recipients will be required to provide periodic updates to DOE on risk management data submitted as part of the Project Execution Plan (Clause 30-B of Award Agreement) in order to ensure that appropriate risk management is being conducted on the project.
- **Quarterly Jobs Data:** DOE seeks to understand the full impact of Recovery Act projects on employment. Recipients should include job figures from the non-federal fund cost-share component of Recovery Act projects (Section 5A of Attachment B - Award Agreement).
- **Monthly Key Project Milestones:** DOE is asking recipients to provide key project milestones and dates to assist DOE in coordinating outreach and public affairs events. Key milestones include events, ground-breakings, first-hires, major phase completions, and other project-specific events that demonstrate project success.
- **Monthly Count of Smart Meters Installed:** DOE is requesting (only) SGIG recipients who are installing smart meters as part of their projects to report the number of meters installed during the monthly reporting period.

## 2 Project Value Management System (PVMS) Reporting

A common structure for reporting the current status of SGIG projects will be used to deliver project status and assessment information to DOE. The input of PVMS data described below will be required. PVMS reporting will be at the Project Level. In addition, recipients will be required to provide an update to their TPO through the Progress Report (SGIG Agreement, Attachment B, Federal Assistance Reporting Instructions) on the status of the milestones identified in the PEP as being either “on-track” or “off-track.” Milestones that are “on-track” are expected to be completed on-time and within budget. Those that are “off-track” are expected to occur after the target date (or not at all) or will be over the expected budget identified in the PEP. These data

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will be compiled into status reports to assist DOE in its reporting requirements under the Recovery Act.

Field		Definition / Metrics	Field Type
ACWP	Actual Cost of Work Performed	The cost actually incurred for the work accomplished during the period of performance.	Input
BCWP	Budgeted Cost of Work Performed	Sum of all budgets for all completed work and the completed portions of ongoing work. Total budget for the scope that was actually accomplished during the period of performance.	Input
BCWS	Budgeted Cost of Work Scheduled	Planned accomplishment established in performance measurement baseline.	Input
ETC	Estimate to Complete	Current estimate for the remaining project scope. This is the estimate for all remaining work excluding contingencies.	Input
BAC	Budget at Completion	Sum of all budgets allocated to a project excluding management reserve	Input

### 2.1 PVMS Reporting Frequency and Due Dates

The PVMS Data elements identified in Section 2 above shall be reported by the prime recipient to DOE on a monthly basis. The prime recipient is responsible for uploading this data into DOE's project management system (SIPRIS) via [www.SmartGrid.gov](http://www.SmartGrid.gov).

The Recipient is required to submit the data no later than the last business day of the following calendar month. The first reporting period shall be the calendar month during which the Project Execution Plan is approved by the Contracting Officer.

### 3 Risk Management Updates

Updates to the Risk Management Plan (RMP) submitted as part of the Project Execution Plan (SGIG Agreement Terms and Conditions Clause 30-B) should be submitted via SIPRIS on a monthly basis. These updates should include any changes to the likelihood of occurrence, cost/schedule impact, risk consequence, or handling strategy and mitigation of the risks identified in the RMP. In addition, any new risks identified by the recipient during the project life cycle should also be included in the update.

The Recipient is required to submit the data no later than the last business day of the following calendar month. The first reporting period shall be the calendar month during which the Project Execution Plan is approved by the Contracting Officer.

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## 4 DOE Quarterly Jobs Reporting Guidance

This section provides recipients guidance on the internal DOE collection of direct jobs created and retained from Recovery Act funds. While the Recovery Act requires recipients to report jobs data to FederalReporting.gov on a quarterly basis, it only requires recipients to report on a subset of jobs created by DOE Recovery Act funds.

In order to capture comprehensive job figures, DOE has additional data collection requirements. These data will better enable the Department to track the number of actual jobs created under the Recovery Act and transparently show the American public how Recovery Act programs are helping create jobs and spur sustainable, economic growth.

The Recipient is required to submit the data no later than the last business day of the month following the end of the calendar quarter. The first reporting period shall be the calendar quarter in which the Project Execution Plan is approved by the Contracting Officer.

Internal DOE job collection differs from FederalReporting.gov in:

- FederalReporting.gov requires recipients to report on jobs created only with Recovery Act funds used on the project. DOE Jobs Reporting aims to monitor jobs created with DOE Recovery Act funds **and non-federal funds**. Recipients will report data on **jobs created from non-federal funds cost-share portion of project**.
- DOE Jobs Reporting provides a breakdown of jobs within the categories identified below:
  - Managers
  - Engineers
  - Computer-related Occupations
  - Environmental and Social Scientists
  - Construction, Electrical and Other Trades
  - Analysts,
  - Business Occupations
  - Recording, Scheduling, Computer Operator Occupations

Job numbers reported to DOE will encompass all direct jobs created during the reporting timeframe as a result of Recovery Act funding.

The DOE will verify job data reported against other reported data from recipients, including invoices and financials. If recipient reported data cannot be verified, then DOE will work with recipients to resolve job data issues.

The template below allows Recipients to report jobs created or retained by reporting the total hours worked for both the federal and cost share funding portions. The Full-time Equivalents (FTEs) will be automatically calculated by the template using the DOE formulas discussed in section 4.1 DOE FTE Calculations. The Cost Share percentage will also be calculated using the DOE formulas.

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Job Category	4. Hours worked per ARRA Reporting Period					
	For Period Ending on the last day of December-09					
	Total number of Periods used for FTE Calculation					1
	% Funded by ARRA	Potential Full-time Schedule Hours This Period	Cumulative Hours in Full-time Schedule	Cumulative ARRA Hours	Cumulative ARRA FTEs	Cumulative Indirect FTEs
	Total Potential Hours for this Period	Hours Worked in Period	% Funded by ARRA	ARRA Hours Worked in Period	ARRA FTEs This Period	Indirect Hours This Period
Managers	520		0.00%	0.0	0.00	
Engineers	520		0.00%	0.0	0.00	
Computer-related Occupations	520		0.00%	0.0	0.00	
Environmental and Social Sciences	520		0.00%	0.0	0.00	
Construction, Electrical, and other Trades	520		0.00%	0.0	0.00	
Analysts	520		0.00%	0.0	0.00	
Business Occupations	520		0.00%	0.0	0.00	
Recording, Scheduling, Computer Operator	520		0.00%	0.0	0.00	
<b>TOTAL</b>	<b>520</b>	<b>0</b>		<b>0.0</b>	<b>0.00</b>	<b>0</b>

### 4.1 DOE FTE Calculations

The jobs reported to DOE program offices should be expressed in OMB's measurement of quarterly FTEs. Recipients must include the cost-share portion of funds used on the project in the tabulation of hours worked in each category.

DOE has identified formulas for calculating FTEs, both from the Federal portion and from the entire project, and for calculating the cost share percentage for the project. These formulas are listed below for information purposes.

#### **FTEs from Federal Recovery Funds**

DOE funded FTE=  $\frac{\text{Total hours worked in Jobs Created from DOE Recovery Act funds}}{\text{Number of Hours in Sector Specific Full-time Schedule}}$

#### **Total FTEs (from federal + non-federal funds) from Recovery Act Supported Project**

Total FTE=  $\frac{\text{Total Hours Worked on Recovery Act-Supported Project}}{\text{Number of Hours in Sector Specific Full-time Schedule}}$

#### **Cost Share**

Cost Share=  $\frac{\text{Total Cost of Recovery Act-Supported Project} - \text{DOE Recovery Act funds}}{\text{Total Cost of Recovery Act-Supported Project}}$

Or in other terms,

Cost Share =  $\frac{\text{Non-federal Funds invested in Recovery Act- Supported Project}}{\text{Total Cost of Recovery Act -Supported Project}}$

### 5. Key Project Milestones:

The Smart Grid Investment Grant Program receives numerous and on-going requests from the Administration and from the Congress for status of Key Project Milestones. DOE is asking

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recipients to provide key project milestones and dates to assist DOE in coordinating outreach and public affairs events. Key milestones include events like ground-breakings, first-hires, major phase completions, and other project-specific events that demonstrate project success.

The Recipient is required to submit the data no later than the last business day of the following calendar month. The first reporting period shall be the calendar month during which the Project Execution Plan is approved by the Contracting Officer.

### **6. Monthly Count of Smart Meters Installed:**

The Smart Grid Investment Grant Program has been receiving numerous and ongoing requests from the Administration and from the Congress for status of smart meter installations on projects. Initially, we answered these requests by querying selected recipients who are doing significant meter installation as part of their projects on an as needed basis. It has become apparent that these requests will continue for the foreseeable future. In order to expeditiously and completely respond to these request we are requesting SGIG recipients who are installing smart meters as part of their projects to report the number of meters installed during the monthly reporting period. DOE has modified the SIPRIS system to accommodate the reporting of this data. The SIPRIS User Guide has been updated to provide detailed instructions for submitting this data.