

UNITED STATES DEPARTMENT OF ENERGY

PROTOTYPE PROGRAMMATIC AGREEMENT

2019 ANNUAL REPORT

BACKGROUND

In 2010, as the result of unprecedented funding levels resulting from the implementation of the American Recovery and Reinvestment Act (Recovery Act), the United States Department of Energy (DOE), the Advisory Council on Historic Preservation (ACHP), and the National Conference of State Historic Preservation Officers (NCSHPO) developed a first-of-its-kind [Prototype Programmatic Agreement](#) (Prototype PA) for National Historic Preservation Act Section 106 reviews. The intent of the Prototype PA was to provide DOE, recipients of financial assistance under DOE's Weatherization Assistance Program (WAP), State Energy Program (SEP), and Energy Efficiency Conservation Block Grant (EECBG) program, and State Historic Preservation Offices (SHPOs) with a tailored method for complying with Section 106 of the National Historic Preservation Act.

Section XIV(c) of the Prototype PA stipulates that DOE will provide annual reports to ACHP and NCSHPO summarizing the undertakings and reviews conducted under the agreement. This report presents DOE's summary of undertakings and reviews for the September 1, 2018 – August 31, 2019 reporting period.

THE PROTOTYPE PROGRAMMATIC AGREEMENT

DOE's Office of Energy Efficiency and Renewable Energy's Weatherization and Intergovernmental Programs Office is responsible for the WAP, SEP, and EECBG programs (collectively, the Programs). DOE sought a Program Alternative under Section 800.14 of the regulations implementing Section 106 of the National Historic Preservation Act (found at 36 CFR Part 800) because DOE was proposing to provide federal funding to recipients in support of the same types of undertakings throughout all three of the Programs.

ACHP designated the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings* on February 8, 2010. Generally speaking, the Prototype PA sets forth a programmatic approach that exempts certain undertakings from Section 106 review, and establishes review procedures for non-exempt undertakings, including the necessary Section 106 consultation procedures. Once the Prototype PA was designated by ACHP, DOE could negotiate and execute subsequent Programmatic Agreements (subsequent PAs) with individual state energy offices and State Historic Preservation Officers in accordance with the Prototype PA. These subsequent PAs are negotiated using the Prototype PA as a template. DOE, recipients, and SHPOs realize the benefits of the Prototype PA by executing a subsequent PA.

More specifically, the Prototype PA and subsequent PAs:

- outline the roles and responsibilities for each signatory party (DOE, the recipient, and the SHPO), as well as ACHP and NCSHPO;

- address DOE’s Section 106 responsibilities with respect to Tribal and Native Hawaiian Organizations;
- identify when a recipient may rely on a State interagency agreement;
- exempt certain undertakings from Section 106 review;
- outline review procedures for non-exempt undertakings;
- provide direction for administrative coordination and dispute resolution amongst the signatory parties; and
- establish reporting requirements.

The Prototype PA includes two appendices identifying undertakings that are exempt from Section 106 review: one for WAP (Appendix A) and one for SEP and EECBG (Appendix B). However the Prototype PA also stipulates that recipients may use either appendix, regardless of the funding source. For exempt undertakings, the recipient does not have to complete the Section 106 review process.

For non-exempt undertakings, the Prototype PA provides direction to the recipient regarding Section 106 review including:

- identification, evaluation, and treatment of historic properties;
- resolution of adverse effects; and
- discoveries/unanticipated effects.

For non-exempt undertakings where adverse effects are identified, Stipulation VIII of the Prototype PA requires DOE to participate in consultations with SHPOs and recipients. Additionally, DOE retains responsibility for government-to-government consultation with Indian tribes, Section 106 consultation with Native Hawaiian Organizations, and for projects where there are potential effects on historic properties of cultural and religious significance to Indian tribes.

The Prototype PA states that each subsequent PA is valid for three years from the date of execution. On March 11, 2013, ACHP issued a Program Comment stating that “DOE may continue, through December 31, 2020, complying with its responsibilities under Section 106 of the National Historic Preservation Act for its WAP, SEP, and EECBG in the relevant States using the 44 agreements currently executed, including those agreements that were recognized by Stipulation III, and those to be executed, under the ‘Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings,’ designated by the ACHP on February 8, 2010, regardless of the duration clause of those agreements.” (78 FR 16275, 16277).

SUBSEQUENT PROGRAMMATIC AGREEMENTS EXECUTED BY DOE

A total of 47 DOE subsequent PAs have been executed with DOE in accordance with the Prototype PA. To date, 44 U.S. States, 2 U.S. Territories, and the District of Columbia have subsequent PAs. All subsequent PAs are available on the Weatherization and Intergovernmental Programs website: <https://www.energy.gov/eere/wipo/historic-preservation-executed-programmatic-agreements>.

The subsequent PAs are beneficial to DOE and recipients in multiple ways. In practice, the PAs delegate some of DOE’s Section 106 responsibilities to the recipient, allowing the recipient to work directly with the SHPOs and exempting certain undertakings from the Section 106 process review altogether.

2019 Annual Report for the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings*.

DOE is actively working with recipients that have not executed a subsequent PA with DOE. It is DOE's goal to have all recipients under the WAP, SEP, and EECBG programs covered by a subsequent PA executed with DOE and the applicable SHPO.

DOE'S WEATHERIZATION AND INTERGOVERNMENTAL PROGRAM OFFICE

The Weatherization and Intergovernmental Programs Office (WIP) is part of the DOE Office of Energy Efficiency and Renewable Energy (EERE) and supports DOE's mission to create greater energy affordability, security, and resiliency. WIP's mission is to enable strategic investments in energy efficiency and renewable energy technologies through the use of innovative practices across the United States in partnership with a wide range of stakeholders, including state and local organizations and community-based non-profits. WIP supports DOE's strategic objective to lower energy costs while expanding energy choices for all American communities. WIP's near-term activities produce almost immediate results, saving taxpayer dollars, making full use of domestic energy resources, boosting local economic development and job creation, boosting energy efficiency, improving energy independence and security, and furthering the development of energy infrastructure. WIP comprises two programs focused on state and local governments, the Weatherization Assistance Program and the State Energy Program. In addition, WIP managed the Energy Efficiency and Conservation Block Grant Program, a national program funded one-time under the Recovery Act. From 2009 to 2015, the EECBG Program provided grants and technical assistance to local governments, states, tribes and territories to support a wide variety of energy efficiency and renewable energy activities.

THE WEATHERIZATION ASSISTANCE PROGRAM

WIP's Weatherization Assistance Program provides funding to 50 states, the District of Columbia, 5 U.S. territories, and one Indian tribe to reduce energy costs for low-income households by increasing the energy efficiency of their homes while ensuring their health and safety. It is the nation's single largest residential whole-house energy efficiency program. Weatherization services include energy audits, mechanical measures (e.g., cleaning, tuning, repairing and replacing heating and/or cooling systems), health and safety measures (e.g., combustion appliance safety testing), building shell measures (e.g., installing insulation), and electric baseload measures (e.g., replacing appliances with energy efficient models).

WAP has created an industry, producing new jobs and technologies, all while helping the most vulnerable families across the country. The program provides funding to states and territories for locally-run weatherization services to approximately 35,000 homes every year. States contract with community action agencies, non-profits, and local governments that use in-house employees and private contractors to deliver services to low-income families. Through weatherization improvements and upgrades, these households save on average \$283 or more every year according to a national evaluation of the program.

THE STATE ENERGY PROGRAM

WIP's State Energy Program provides funding and technical assistance to 50 states, five U.S. territories, and the District of Columbia to enhance energy security, advance state-led energy initiatives, and maximize the benefits of increasing energy efficiency. State-led activities include energy emergency planning and response, low-cost financing programs for energy efficiency, performance contracting, school and public building retrofit programs and innovative energy technology demonstration projects, among other program that spur economic development, increase energy efficiency and expand domestic energy resources. In addition, SEP recipients were

2019 Annual Report for the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.*

allowed to establish Financing Programs (e.g. revolving loan fund (RLF), loan loss reserve (LLR), interest-rate buy down (IRB) and third party loan insurance) using Recovery Act funds and may establish Financing Programs using annual grant funds. Many states have established such Financing Programs.

THE ENERGY EFFICIENCY AND COMMUNITY BLOCK GRANT PROGRAM

The Energy Independence and Security Act of 2007 created the EECBG Program to help eligible state and local government entities and Indian tribes develop, promote, implement, and manage energy efficiency and conservation efforts. Funded efforts were designed to reduce fossil fuel emissions and total energy use of eligible entities, improve energy efficiency in transportation, building, and other sectors, and create and retain jobs. More than \$2.7 billion was distributed through formula grants to 2,187 cities, counties, states, territories, and Indian tribes across a range of 14 categories. The grants funded over 7,400 individual programs, projects, or activities. Grants were used for a range of initiatives, including energy efficiency building retrofits, financial incentives for energy efficiency, building code support, renewable energy installations, distributed energy technologies, transportation activities, recycling and waste management efforts, and other DOE-approved activities. Grants were provided directly to local government entities, state agencies and Indian tribes. In 2016, EECBG recipients were allowed to establish Financing Programs (e.g. RLF, LLR, IRB and third party loan insurance) using Recovery Act funds. Currently there are 108 Financing Programs that are self-administered by EECBG recipients.

ANNUAL REPORTING DATA

Stipulation XIV(c) of the Prototype PA requires DOE to provide an annual report to ACHP and NCSHPO summarizing the Programs' undertakings, including the number of undertakings, exempt undertakings, and Section 106 reviews conducted under the subsequent PAs.

DOE uses an Office of Management and Budget (OMB) Paperwork Reduction Act reviewed and approved form (OMB Control Number 1910-5155) to collect data annually from all SEP and WAP recipients and EECBG recipients with ongoing activities (including recipients that have not executed a subsequent PA). The reporting form is presented as Attachment 1. The collection of the information has been standardized to provide database collection and retrieval of program information through Performance and Accountability for Grants in Energy (PAGE). PAGE is a system that interfaces with DOE financial systems, the EERE Project Management Center, DOE Headquarters and state and local recipients. It is cost effective for WIP to collect and capture the recipient information in PAGE through a combined collection effort, as PAGE is the same database collection program that WAP, SEP, and EECBG use to capture their other reporting data and requirements. Recipients and DOE Project Officers are familiar with utilizing the system to submit required information and review reporting requirements, respectively.

2019 ANNUAL REPORTING DATA

DATA COLLECTION

In mid-2019, DOE provided updated guidance to recipients on how to complete the annual reporting form. The intent of the guidance was to improve the consistency of (and therefore confidence in) the reported data. For example, DOE clarified the term "activities" and emphasized that the number of activities reported should be a sum of: (1) undertakings exempt from review due to age, (2) undertakings exempt per Appendices A or B, (3) undertakings exempt due to a prior Section 106 Agreement for Community Development Block Grants, and (4) undertakings requiring Section 106 reviews completed under Stipulations VI to X of the subsequent PAs.

2019 Annual Report for the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.*

Additionally, in 2019, DOE undertook a centralized effort to review and improve the quality of data reported during this period by working with recipients to clarify responses and make corrections. DOE's review identified that one of the most common errors was to question 1d, which asks recipients whether, in the absence of a Programmatic Agreement, they otherwise complied with the National Historic Preservation Act (by submitting projects to DOE for review). Recipients with a Programmatic Agreement should respond "N/A" to question 1d. However, many of these recipients mistakenly responded "No," resulting in the inaccurate conclusion that recipients with a subsequent PA were not in compliance with the National Historic Preservation Act. DOE worked one-on-one with recipients to correct reports submitted with this error.

Another source of potentially inaccurate data stemmed from the misalignment of the historic preservation annual reporting deadline with the period of performance of the DOE awards. Due to this misalignment, some recipients were prompted to provide historic preservation reports for multiple award years, leading to an over reporting of the number of recipients utilizing a subsequent PA. To rectify this, DOE consolidated multiple reports submitted by individual recipients into single reports. DOE plans to incorporate the lessons learned from this reporting cycle into guidance for future years.

RESULTS

In the September 1, 2018 – August 31, 2019 reporting period, SEP, WAP, and EECBG recipients with subsequent PAs conducted 31,033 activities (undertakings) using DOE funds. 96 recipients reported using a subsequent PA. Of the DOE funded undertakings, 27,662 were exempt from review. 13,332 were exempt due to the age of the property, 14,182 were exempt based on Appendices A and B, and 148 were exempt based on existing Section 106 Agreement for Community Development Block Grant. 3,166 Section 106 reviews were conducted under individual programmatic agreements¹. This data is provided in Attachment 2, which also presents this data broken down by state, by program, and over time.

HISTORICAL DATA AND TRENDS

In 2012 and 2013, the total number of undertakings completed by WIP recipients using DOE funds totaled more than 1 million per year. From 2014 to 2019, the total number of undertakings completed by WIP recipients using DOE funds has been consistently between 25,000 and 45,000 per year. While this demonstrates a significant reduction from the number of undertakings completed in the years immediately following the designation of the Prototype PA, it remains a very considerable number of undertakings. Attachment 2 presents data collected in annual reports from 2012 through the present; the data is presented in the aggregate, by program, and also by State for the current reporting period.

Over the past five years, the number of undertakings completed with DOE funds per program has been relatively consistent. WAP recipients have conducted more undertakings using DOE funds per year than SEP or EECBG recipients. The number of EECBG undertakings is less consistent over time, as the DOE financial assistance agreements have been replaced with recipient-administered financing programs.

¹ The number of exempt undertakings and project-specific Section 106 reviews should total the number of undertakings reported. There is a discrepancy of 205 undertakings. This discrepancy can be attributed to 3 reports that were incorrectly completed. DOE is committed to continuing to work with recipients (by providing guidance on the reporting form and working one-on-one with recipients) to improve reporting accuracy and response rates in the future.

2019 Annual Report for the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.*

Each year, undertakings have been exempt due to age of the building, because they are identified in Appendices A and B, and per existing Community Development Block Grant (CDBG) agreements. The number of undertakings covered by CDBG agreements makes up the smallest portion of exempted undertakings. The number of Section 106 reviews conducted each year have remained relatively consistent, irrespective of the total number of undertakings completed.

SUBSEQUENT PROGRAMMATIC AGREEMENTS IN ACTION IN 2019

DOE has selected two projects completed during the reporting period to highlight how the subsequent programmatic agreements work in action. As demonstrated in the projects below, the subsequent PAs provide efficiencies by expediting the review of a large number of routine undertakings that have limited potential to affect historic properties and providing a consistent framework for individual review of non-routine undertakings. Recipients have developed implementation plans, as demonstrated in the examples below, to provide for the effective execution of the terms of the subsequent PAs in pursuit of achieving their program goals. The subsequent PAs enable time and resource savings to DOE, SHPOs, and recipients while also providing for the protection of historic properties.

WAP – MINNESOTA'S WEATHERIZATION ASSISTANCE PROGRAM

Minnesota's Weatherization Assistance Program (WAP) has made strides in reducing the energy burden and providing a healthier home environment for low-income households in the state. The state's WAP is administered by the Minnesota Department of Commerce which receives annual funding from the U.S. Department of Energy's (DOE) Office of Energy Efficiency and Renewable Energy's (EERE) Weatherization Assistance Program.

Implementing energy-saving improvements in a home can reduce energy costs and keep homes safer and more livable. In one example highlighted by EERE, an 82-year-old WAP client resident of Minneapolis received weatherization services on his home, which was built in 1900. The process began with an energy audit, followed by weatherization services that included a new furnace, water heater, attic insulation and air-sealing, and a programmable thermostat. After the weatherization measures, the home is now more comfortable and safe, and the homeowner is saving more than \$20 a month on heating bills.

[Minnesota's subsequent PA](#) was executed in March 2010. To facilitate compliance with Section 106 requirements and the subsequent PA, Minnesota has developed and implemented an electronic submittal system that is integrated into their WAP energy audit process. Their system separates WAP households into three broad categories:

- Those that are not old enough to require a Section 106 review;
- Those that are old enough for a SHPO review, but whose scope of work contains only items that are listed in Appendix A of the subsequent PA and are exempted from Section 106 review; and
- Those that are old enough for a SHPO review and whose scope of work contains at least one item not listed in Appendix A of the subsequent PA and therefore requires a Section 106 review.

All submissions, including one for the project described above, are reviewed prior to initiating WAP work. For the first two categories, work can proceed with very minimal delay. In the example above, the home was old enough to require SHPO review, but the undertakings were exempt per Appendix A. For those households that require a Section 106 review, the review is conducted and follow-up information is provided to the WAP provider, as

2019 Annual Report for the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.*

needed. Minnesota’s feedback to DOE is that their system works well and provides an effective balance between meeting Section 106 requirements and achieving program goals.

Minnesota’s WAP provides weatherization services for hundreds of homes across the state each year. For those undertakings that are exempt from consultation either by age or by the Appendices in the subsequent PA, the state saves time and resources that can be used to further the benefits of the program through reducing the energy burden and providing a healthier home environment for low-income households.

SEP – NEW MEXICO’S CIMARRON DISTRICT SOLAR PHOTOVOLTAIC (PV) SYSTEM

The Ute Park wildfire of 2018 destroyed and damaged thousands of acres in the Cimarron and Ute Park communities of northeastern New Mexico. It knocked out power to the Cimarron District Office of New Mexico’s Energy, Minerals and Natural Resources Department Forestry Division, and nearby communities. The firefighting operations’ electricity needs were met with an on-site backup propane generator. This generator became the single-point supply of electricity – supporting the entire firefighting event.

In early 2019, the State Energy Program, via its direct grantee, the New Mexico State Energy Office, provided nearly \$58,000 in financial assistance to install a 10.3 kilowatt (kW) solar photovoltaic (PV) system, an 8 kW inverter/battery input and output, and a 16 kW-hour battery bank. This investment from SEP demonstrates one way DOE works to improve energy reliability and resiliency in the event of an emergency, and it ensures that the Cimarron District will have backup power to keep its information technology networks running and command and control points powered in the event of another major wildfire.

[New Mexico’s subsequent PA](#) was executed in September 2010. Appendix B, Category 2, Section 1 “*Efficiency and repair measures*”, Subsection f. of the subsequent PA exempts solar PV installations from consultation if they are “*not visible from the public right of way and if ground-mounted can be installed without ground disturbance*”. The Cimarron District Office Solar PV project required ground disturbing activities and therefore was not exempt from consultation. As such, per stipulation V. “*Review Procedures for Non-exempt Undertakings*”, the New Mexico State Energy Office initiated a Section 106 consultation with the New Mexico State Historic Preservation Office prior to initiating the project. No potential adverse effects were identified through the Section 106 review process and the consultation concluded with a requirement to (1) cease activities and contact the SHPO if significant archaeological materials were encountered during construction, and/or (2) re-initiate Section 106 consultation if the project area expanded or changed during project development.

By reviewing the proposed undertaking directly with the New Mexico SHPO, as stipulated in the subsequent PA, the State Energy Office effectively streamlined the Section 106 review process and ensured that there were no adverse effects to historic properties as a result of the project that was designed to improve the energy reliability and resiliency of their emergency response operations.

CONCLUSION

DOE’s WAP, SEP, and EECBG programs are well suited for the Prototype Programmatic Agreement because they provide funding to activities that are relatively similar in nature and consistent over time, even as funding levels fluctuate. Collectively, the Programs provide funding in support of tens of thousands of activities each year. These activities are intended to lower energy costs while expanding energy choices for all American communities. The subsequent PAs executed in accordance with the Prototype PA make it possible for the recipients to execute this

2019 Annual Report for the *Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.*

large number of undertakings by expediting reviews for undertakings that do not have the potential to adversely impact historic properties and establishing the review process for those projects that require individual consideration.

The Prototype PA and subsequent PAs provide great value to DOE and to recipients. In this reporting year, consistent with previous years, more than 25,000 undertakings were conducted by recipients using DOE funds. If these undertakings, which by and large do not have the potential to adversely impact historic properties, required individual Section 106 review, it would add a substantial workload to DOE, SHPOs, and recipients, and ultimately delay the implementation of energy efficiency and renewable energy projects.

DOE appreciates the cooperation of ACHP and NCSHPO in implementing the Prototype Programmatic Agreement and subsequent PAs.

Attachment 1:

Annual Reporting Form

(OMB Control Number 1910-5155)

2019 Annual Report for the Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.

Reporting Period September 1, 2018 – August 31, 2019

**U.S. Department of Energy
HISTORIC PRESERVATION REPORT**

Historic Preservation Reporting Period: _____

Grant Number: _____

1a. State where recipient is located: _____

1b. Name of Recipient:

1c. Have you utilized a U.S. DOE-executed Historic Preservation Programmatic Agreement (PA) in order to comply with National Historic Preservation Act requirements for all or some of your U.S. DOE-funded EECBG, WAP, or SEP activities? Yes ____ No ____

1d. If your answer to 1c above is no, then for any activities for which you did NOT utilize a PA for historic preservation review have you otherwise complied with National Historic Preservation Act requirements for those activities?
Yes ____ No ____ N/A ____

1e. Total number of activities being undertaken with DOE funds:

If your answer to question 1c above is "yes" then please answer questions 2a through 3a:	
2a. Identify the number of activities that were exempt from further historic preservation review under the PA due to property age:	
2b. Identify the number of activities exempt from further historic preservation review per the PA list of exempt activities:	
2c. Identify the number of activities exempt from further historic preservation review under the PA due to a prior review under a Section 106 Agreement for Community Development Block Grants (CDBG):	
3. For any activities that you did not identify as exempt from further review under questions 2a, 2b, 2c, or 2d, please list the following:	
3a. Number of Section 106 reviews completed under the PA:	

Paperwork Reduction Act Burden Disclosure Statement

This data is being collected to verify compliance with Section 106 of the National Historic Preservation Act (NHPA). The data you supply will be used to demonstrate that projects implemented through the Department of Energy's (DOE) Office of Weatherization and Intergovernmental Programs are not adversely effecting historic properties pending compliance with Section 106.

Public reporting burden for this collection of information is estimated to average 2 hrs per response for WAP recipients, 4 hours per response for SEP recipients and 2 hrs per response for EECBG recipients, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of the Chief Information Officer, Records Management Division, IM-11, Paperwork Reduction Project (1910-5155), U.S. Department of Energy, 1000 Independence Ave SW, Washington, DC, 20585-1290; and to the Office of Management and Budget (OMB), OIRA, Paperwork Reduction Project (1910-5155), Washington, DC 20503.

Historic Preservation Report Instructions**Line Item Instructions for the Historic Preservation Report**

Item #	Reporting Item	Instructions
	Historic Preservation Reporting Period	Recipients must report to DOE through the PAGE system annually no later than 9/15. The annual reporting period is 8/31 through 9/1.
	Grant Number	The grant number begins with four letters followed by 7 numerical digits (e.g. ...DE-EE0000000)
1a	State where recipient is located	Enter State abbreviation from SF424
1b	Name of Recipient	Enter Grantee Legal Name from SF424
1c	Utilization of U.S. DOE executed Historic Preservation Programmatic Agreement (PA)	A Programmatic Agreement (PA) is an agreement covering the recipients in the State identified in question 1(a) and which is executed between the United States Department of Energy, the State Agency Recipient(s) receiving financial assistance from U.S. DOE for EECBG, WAP, and SEP and the State Historic Preservation Office.
1d	Activities for which a PA was not utilized to meet the requirements of the National Historic Preservation Act.	The term “activities” as used in this report refers to the individual tasks that comprise a project funded in whole or in part by U.S.DOE through EECBG, WAP or SEP.
1e	Total number of activities being funded in whole or in part with DOE funds	User entry is required and it must be numeric. (see also, definition of “activities” in the instructions to 1d above)
2a	Activities exempt from further historic preservation review under the PA due to property age	User entry is required and it must be numeric.
2b	Activities exempt from further historic preservation review per the PA list of exempt activities.	The PA should identify in a list or Appendix those activities that are exempt from further historic preservation review. User entry is required and it must be numeric.

2c	Activities exempt from further historic preservation review under the PA due to a prior review under a Section 106 Agreement for Community Development Block Grants (CDBG).	User entry is required and it must be numeric. (Note that the PA executed in your state may not have this exemption)
3	Activities not identified as exempt from further review under questions 2a, 2b, 2c, or 2d.	If activities are not exempt from further review under at least one of the categories identified in questions 2a, b, c or d, then the Recipient is required to conduct a historic preservation review in accordance with the remaining Stipulations in the PA.
3a	Number of Section 106 reviews completed under the PA.	User entry is required and it must be numeric.

Attachment 2: Data

2019 Annual Report for the Prototype Programmatic Agreement between the United States Department of Energy, the State Energy Office, and the State Historic Preservation Office regarding EECBG, SEP and WAP Undertakings.

Reporting Period September 1, 2018 – August 31, 2019

2019 Summary Data:

Report on Historic Preservation Activities of DOE's Programs Funded by EERE/WIP (Reporting Period: 09/01/2018 - 08/31/2019)	
(1) Total EERE/WIP Activities conducted by recipients with a subsequent PA using DOE Funds	31,033
Activities Exempt Due to Age of Property	13,332
Activities Exempt per Exemptions in Appendices A & B	14,182
Activities Exempt under CDBG Agreement	148
(2) Total Number of Exempt Activities	27,662
Recipients that Utilized a subsequent Programmatic Agreement	96
(3) Historic Preservation Reviews Completed under a subsequent PA	3166

In the September 1, 2018 – August 31, 2019 reporting period, SEP, WAP, and EECBG recipients with subsequent PAs conducted 31,033 activities (undertakings) using DOE funds. 95 recipients reported using a subsequent PA. Of the DOE funded undertakings, 27,662 were exempt from review. 13,332 were exempt due to the age of the property, 14,182 were exempt based on Appendices A and B, and 148 were exempt based on existing Section 106 Agreement for Community Development Block Grant. 3,166 Section 106 reviews were conducted under subsequent programmatic agreements.

This data is presented by state in the following table. Following the table of data by state, the data is presented by program and then also by year to show trends over time.

2019 Summary Data by State:

Reporting Period: September 1, 2018 - August 31, 2019							
State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
Alabama	Yes	EECBG					
		SEP	26	18	8		
		WAP	282	117	165		
Alaska	Yes	EECBG					
		SEP	5	5			
		WAP	157	101	12		44
American Samoa Government	Yes	EECBG					
		SEP	16		16		
		WAP					
Arizona	Yes	EECBG					
		SEP					
		WAP	146	126	20		
Arkansas	No	EECBG					
		SEP					
		WAP					
California	Yes	EECBG					
		SEP	4		4		
		WAP	671	349	291		31

2019 Summary Data by State (continued):

State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
Colorado	Yes	EECBG	58	37	21		
		SEP	1	1			
		WAP	583	352	231	0	0
Connecticut	Yes	EECBG					
		SEP					
		WAP	176	45	55	0	76
Delaware	Yes	EECBG					
		SEP					
		WAP	61	54	7	0	0
District of Columbia	Yes	EECBG					
		SEP	165		165		
		WAP	165	0	165	0	0
Florida	Yes	EECBG					
		SEP					
		WAP	149	93	0	0	56
Georgia	Yes	EECBG	2		2		
		SEP	2		2		
		WAP	533	402	131	0	0
Guam	No	EECBG SEP WAP					
Hawaii	Yes	EECBG					
		SEP	2		2		
		WAP	47	47	0	0	0

2019 Summary Data by State (continued):

State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
Idaho	Yes	EECBG					
		SEP	13		13		
		WAP	217	144	0	0	73
Illinois	Yes	EECBG					
		SEP					
		WAP	1978	645	346	0	987
Indiana	Yes	EECBG					
		SEP					
		WAP	700	287	413	0	0
Iowa	Yes	EECBG					
		SEP	1	1			
		WAP	573	24	546	0	3
Kansas	Yes	EECBG					
		SEP					
		WAP	299	131	157	0	11
Kentucky	No	EECBG SEP WAP					
Louisiana	Yes	EECBG					
		SEP	2		2		
		WAP	170	134	32	0	4

2019 Summary Data by State (continued):

State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
Maine	Yes	EECBG	1041	711		130	841
		SEP					
		WAP	290	169	121	0	0
Maryland	Yes	EECBG	27	24	12		1
		SEP					
		WAP	219	105	111	3	0
Massachusetts	Yes	EECBG					
		SEP	84		84		
		WAP	1153	231	922	0	0
Michigan	Yes	EECBG					
		SEP					
		WAP	1483	481	805		197
Minnesota	Yes	EECBG					
		SEP	40	12	28		
		WAP	1412	459	872	81	0
Mississippi	No	EECBG SEP WAP					
Missouri	Yes	EECBG					
		SEP	15		15		
		WAP	1204	377	603	6	218
Montana	Yes	EECBG					
		SEP	22		22		
		WAP	238	60	161	0	17

2019 Summary Data by State (continued):

State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
Nebraska	Yes	EECBG					
		SEP	1	1			
		WAP	243	51	14	27	151
Nevada	Yes	EECBG	1	1	1		
		SEP					
		WAP	65	55	4	0	6
New Hampshire	Yes	EECBG					
		SEP	3				3
		WAP	196	96	100	0	0
New Jersey	Yes	EECBG					
		SEP					
		WAP	467	466	0	0	1
New Mexico	Yes	EECBG					
		SEP	1				1
		WAP	2162	1668	133	0	361
New York	Yes	EECBG					
		SEP					
		WAP	3096	534	2163	14	385
North Carolina	Yes	EECBG					
		SEP					
		WAP	398	250	145	0	3
North Dakota	Yes	EECBG					
		SEP	5	5			
		WAP	291	63	173	2	53

2019 Summary Data by State (continued):

State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
Northern Mariana Islands	No	EECBG SEP WAP					
Ohio	Yes	EECBG					
		SEP	217	42	175		
		WAP	2209	693	1516	0	0
Oklahoma	Yes	EECBG	11	5	6		
		SEP	6	2	1		3
		WAP	224	97	102	0	25
Oregon	No	EECBG SEP WAP					
Pennsylvania	Yes	EECBG					
		SEP					
		WAP	1529	1162	366	0	1
Puerto Rico	Yes	EECBG	7		1		6
		SEP	3		3		
		WAP	89	0	89	0	0
Rhode Island	No	EECBG SEP WAP					
South Carolina	Yes	EECBG					
		SEP	7	2	5		
		WAP	368	298	70	0	0

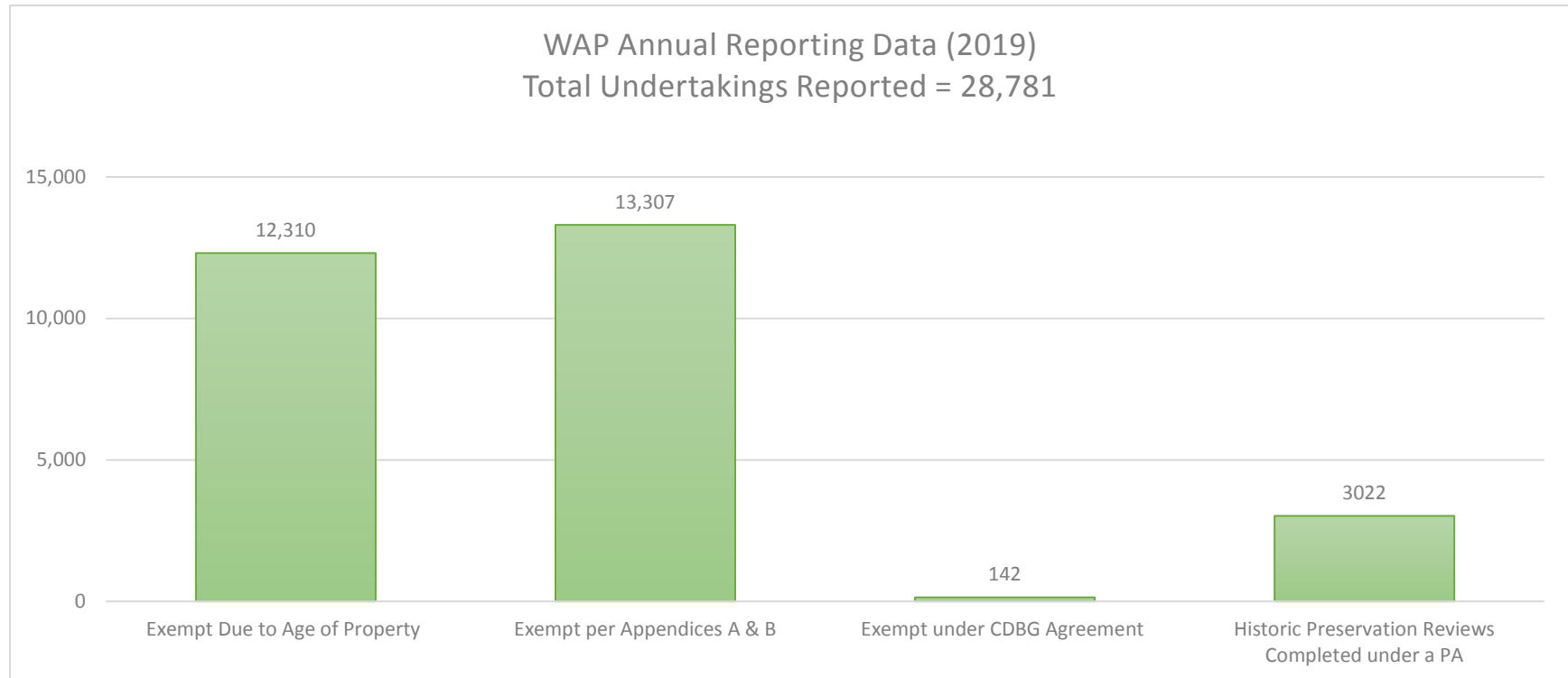
2019 Summary Data by State (continued):

State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
South Dakota	Yes	EECBG	4		4		
		SEP	16		16		
		WAP	190	84	86	0	20
Tennessee	Yes	EECBG					
		SEP					
		WAP	422	270	152	0	0
Texas	Yes	EECBG	152	114	38		
		SEP	11	1	10		
		WAP	618	62	391		165
Utah	Yes	EECBG					
		SEP					
		WAP	351	207	33	0	111
Vermont	Yes	EECBG					
		SEP	130		130		
		WAP	127	60	67	0	
Virginia	Yes	EECBG	6				
		SEP	4		4		
		WAP	975	691	275	9	0
Virgin Islands	No	EECBG SEP WAP					
Washington	Yes	EECBG	1		1		
		SEP					
		WAP	807	335	465	0	7

2019 Summary Data by State (continued):

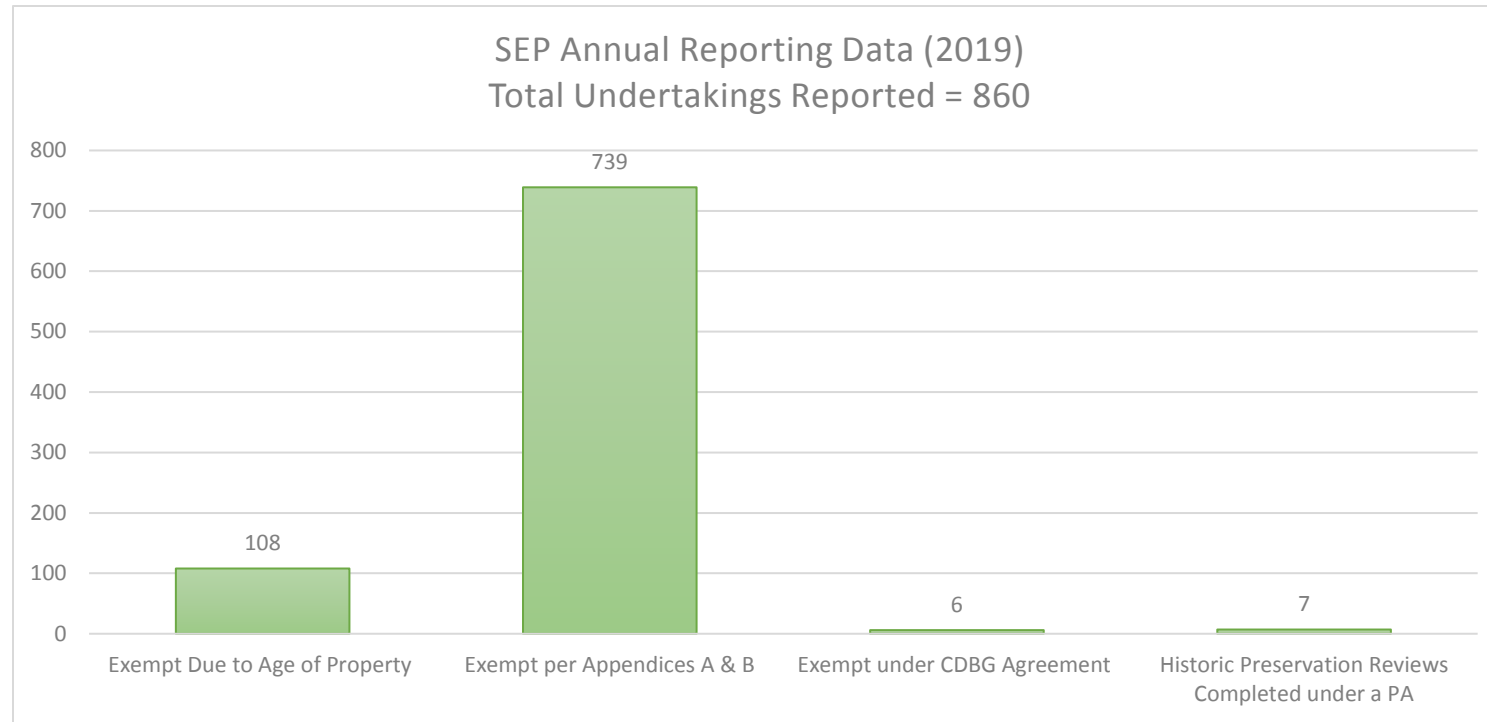
State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
West Virginia	No	EECBG SEP WAP					
Wisconsin	Yes	EECBG	82	32	50		
		SEP	31	10	21		
		WAP	930	180	734		16
Wyoming	Yes	EECBG					
		SEP	27	8	13	6	
		WAP	118	55	63	0	0
Northern Arapaho Tribe	No	EECBG SEP WAP					

2019 WAP Summary Data:



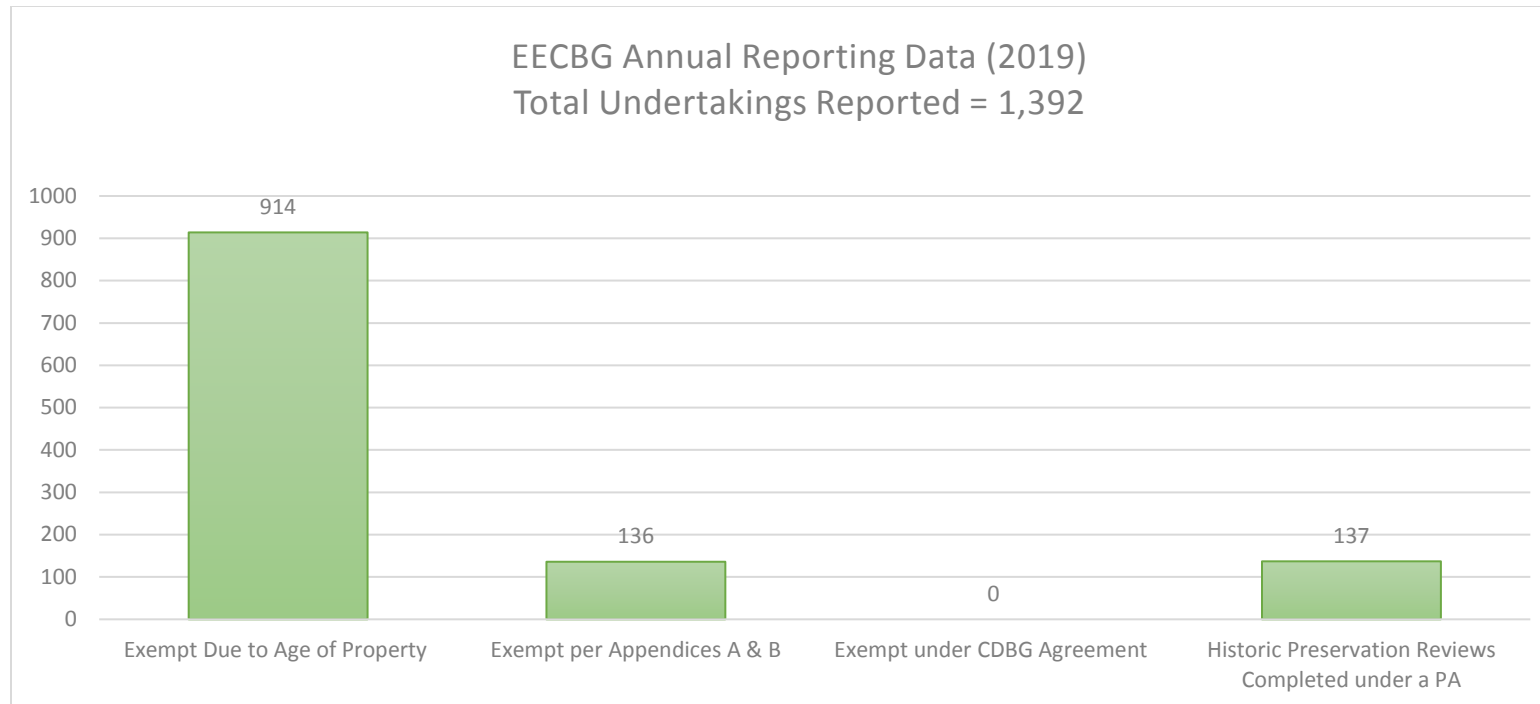
In the 2019, there were 57 WAP recipients with active financial assistance awards. All 57 recipients submitted reports to DOE. Of the 57 recipients, 47 reported utilizing a subsequent PA. 28,781 undertakings were reported by recipients with a subsequent PA. Of those undertakings, 12,310 were exempt due to the age of the property, 13,307 were exempt based on Appendices A & B, 142 were exempt under a CDBG agreement, and 3,022 project-specific Section 106 reviews were completed. Since, 2014 WAP recipients have consistently reported more than 25,000 undertakings, representing the most undertakings of all three programs.

2019 SEP Summary Data:



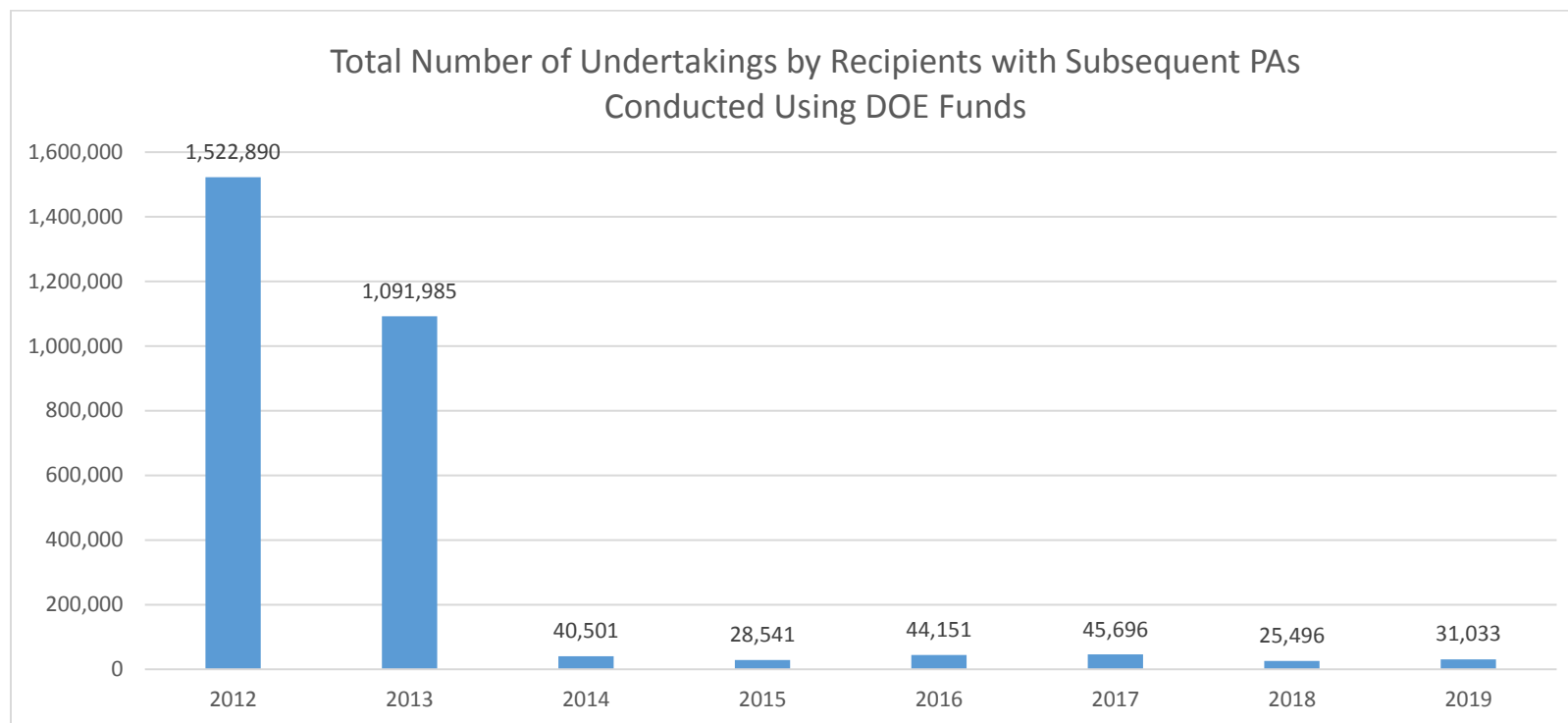
In 2019, there were 56 SEP recipients with active financial assistance awards. All 56 SEP recipients submitted reports to DOE. Of the 56 recipients, 29 reported using a subsequent PA for a total of 860 undertakings. While 47 SEP recipients have subsequent PAs, not all of those recipients had undertakings subject to a subsequent PA during the current reporting period. For example, many SEP recipients use DOE funding for education and training, technical assistance, planning, and other similar efforts that do not result in physical work being conducted. Of the undertakings completed by SEP recipients that were subject to review under a subsequent PA, the majority (739 of the 860) were exempt per the activities listed in Appendix A or B.

2019 Summary EECBG Summary Data:



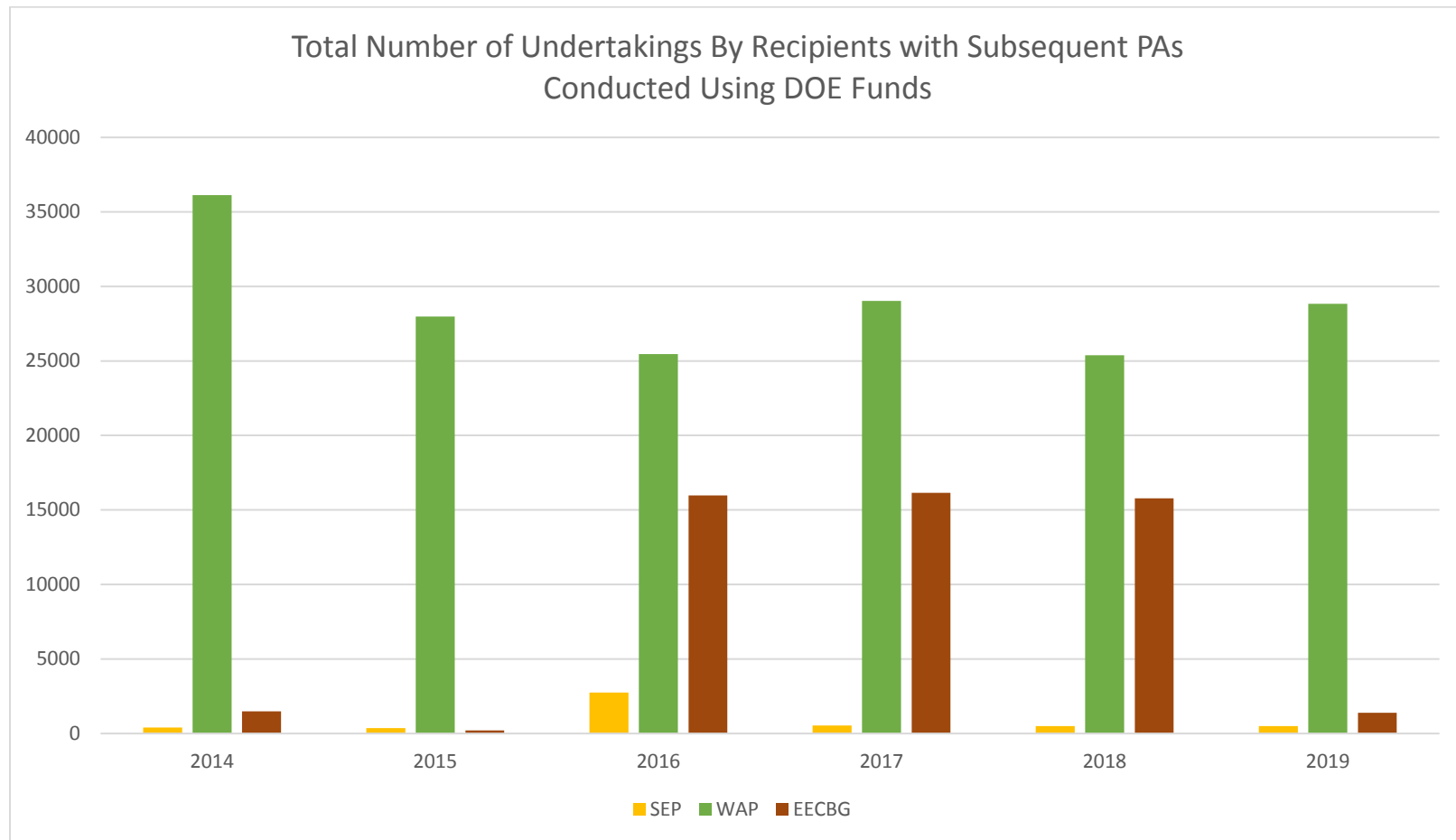
In the 2019, there were 108 EECBG recipients with active finance programs using EERE funds. 99 of the EECBG recipients are in states with subsequent PAs. EERE received reports from 59 EECBG recipients. Of those 59, 20 recipients reported utilizing a subsequent PA. 1,392 undertakings were reported by recipients with a subsequent PA. Of those undertakings, 914 were exempt due to the age of the property, 136 were exempt based on Appendices A & B and 137 project-specific Section 106 reviews were completed. The number of exempt undertakings and project-specific historic preservation reviews should total the number of undertakings reported. There is a discrepancy of 205 undertakings. This discrepancy can be attributed to 3 reports that were incorrectly completed. DOE is committed to continuing to work with recipients (by providing guidance on the reporting form and working one-on-one with recipients) to improve reporting accuracy and response rates in the future.

Data Trends:



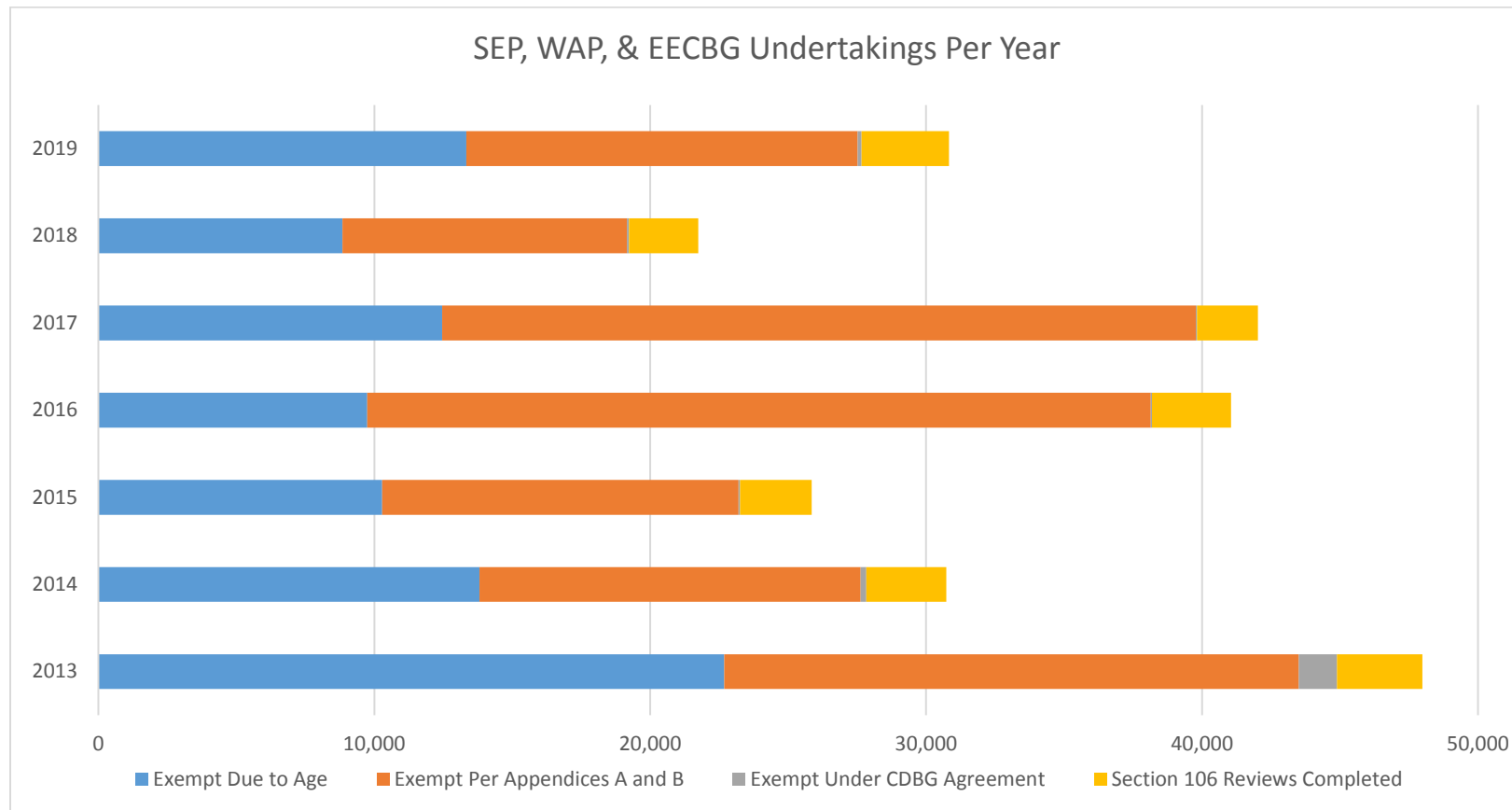
Since 2014, the total number of undertakings completed by WIP recipients utilizing subsequent PAs has been consistently in excess of 25,000 per year. While this demonstrates a significant reduction from the number of activities completed in the early years of the American Reinvestment and Recovery Act, it remains a very substantial number of undertakings.

Data Trends (continued):



Over the past 5-years, the number of activities completed with DOE funds per program has been relatively consistent. WAP recipients have conducted more activities using DOE funds per year than SEP or EECBG recipients.

Data Trends (continued):



Each year, activities have been exempt due to age of the building, activities identified in appendices A and B, and under existing CDBG agreements. The number of activities covered by CDBG agreements makes up the smallest portion of exempted activities.