

# UNITED STATES DEPARTMENT OF ENERGY

## PROTOTYPE PROGRAMMATIC AGREEMENT

### 2020 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, 2019 – August 31, 2020 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).

In 2020, DOE, in cooperation with ACHP and NCSHPO, developed an Amendment to extend the expiration date of the executed subsequent PAs. The Amendment was circulated via NCSHPO’s member Forum for review in early May 2020 and is provided as Attachment 1 to this report. DOE provided a recorded webinar to SHPOs and recipients to communicate the content and intent of the Amendment and is currently working with SHPOs and recipients to execute the Amendments to extend the expiration date of the subsequent PAs beyond December 31, 2020.

## SUBSEQUENT PROGRAMMATIC AGREEMENTS EXECUTED BY DOE

A total of 53 DOE subsequent PAs have been executed with DOE in accordance with the Prototype PA. To date, 50 U.S. States, 3 U.S. Territories, and the District of Columbia have subsequent PAs. All subsequent PAs are available

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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.

DOE continues to actively work 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.

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## 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 allowed to establish financing programs (e.g. revolving loan funds (RLFs), loan loss reserves (LLRs), interest-rate buy downs (IRBs) 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 (DOE Form 540.6, 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), with an expiration date of February 28, 2023. The reporting form is presented as Attachment 2. 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.

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### 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 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. 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. In 2020, DOE incorporated lessons learned from the 2019 reporting cycle, including improving the functionality of the reporting system and working closer with recipients to ensure the submission of complete and accurate reports in a timely manner.

### RESULTS

In the September 1, 2019 – August 31, 2020 reporting period, SEP, WAP, and EECBG recipients with subsequent PAs conducted 30,053 activities (undertakings) using DOE funds. 99 recipients reported using a subsequent PA. Of the DOE funded undertakings, 28,819 were exempt from review. 13,407 were exempt due to the age of the property, 5,333 were exempt based on Appendices A and B, and 79 were exempt based on existing Section 106 Agreement for Community Development Block Grant. 2,617 Section 106 reviews were conducted under individual programmatic agreements<sup>1</sup>. This data is provided in Attachment 3, 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 2020, 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 3 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.

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<sup>1</sup> The number of exempt undertakings plus the number of project-specific Section 106 reviews should equal the number of undertakings reported. There is a discrepancy of 1,383 undertakings. This discrepancy can be attributed to a single report that was completed incorrectly. The discrepancy the single report was due to the recipient reporting undertakings as exempt due to age of the building and based on Appendix A or B. If an activity is exempt based on the age of the building, it should not also be reported as exempt due to Appendix A or B. 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.

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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 2020

DOE has selected two efforts completed during this reporting period to highlight how the subsequent programmatic agreements work in action. As demonstrated in the project below, the subsequent PAs provide efficiencies by expediting the review of routine undertakings that have limited potential to affect historic properties. The subsequent PAs enable time and resource savings to DOE, SHPOs, and recipients while also providing for the protection of historic properties.

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#### SEP – NEW HAMPSHIRE SEED FUNDS HELP ADVANCE ENERGY EFFICIENCY IN SMALL TOWN SCHOOLS

With annual funding from the U.S. Department of Energy's (DOE) State Energy Program, New Hampshire created the School Energy Efficiency Development (SEED) Grant, a competitive grant award of \$100,000 aimed at achieving energy efficiency in schools.

New Hampshire leveraged SEP funding to help the Jennie D. Blake Elementary School in the City of Hill, recipient of the state's first SEED Grant, install energy efficiency improvements that would save an estimated \$10,000 in energy costs, 34,000 kilowatt hours of electricity, and 2,200 gallons of oil in the first year after the installations.

Funds from the SEED grant were used for three major energy efficiency upgrades at the elementary school: insulation and air sealing to reduce heat loss and prevent ice dams during the winter months; LED lighting (with occupancy sensors) retrofits of more than 170 bulb fluorescent panels; and updates to the HVAC system to include occupancy sensors and control by smartphone, allowing the systems to be turned down, even after night-time usage. Estimated annual savings in the first year are over \$10,000, including electric savings of 34,000 kWh of electricity and 2,200 gallons of oil.

The New Hampshire subsequent PA requires SHPO review of "undertakings that involve properties greater than fifty (50) years old and are not listed on either Appendices A or B". The Jennie D. Blake Elementary School was less than 50 years old at the time that the project was completed and the activities completed are listed in Appendices A and B. Consequently, this project did not require Section 106 review, demonstrating the efficiencies provided by the PA.

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#### CALIFORNIA DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT (CSD) -- HISTORIC PRESERVATION ONLINE WEATHERIZATION PROJECT APPROVAL WEBSITE

The California Department of Community Services & Developments (CSD) automated Historic Preservation On-line (HPO) System was developed by CSD in 2011, in coordination with California's State Historic Preservation Officer (SHPO), to expedite the processing of historic preservation reviews.

Consistent with California's subsequent PA, weatherization service providers are required to enter all assessed measures into the online platform for every dwelling over 45 years in age. Those measures that are entered in to

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the system fall into one of two lists – measures that are automatically approved without further review, and measures that require formal review. If the assessed measures do not require a formal review, an email is generated automatically allowing the agency to proceed with the work. If a formal review is required, supplemental information including photos of the home and more detail on the scope of work must be provided. The supplemental data is uploaded into the HPO System and forwarded for review. When the review is complete, the service provider receives an email response that either approves installation, denies installation, or conditionally approves the installation with some modification.

According to CSD, since its development in 2011, the HPO System has aided in maintaining compliance with the subsequent PA and also both expedited and organized the review process.

## 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 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 and in developing the amendment to extend the expiration date. DOE's efforts to amend agreements to extend the expiration date are ongoing. To date, DOE has been in contact with all SHPOs and all recipients in states/territories with subsequent PAs and 20 amendments have been signed by all parties (and will be considered fully executed upon filing with ACHP). DOE will continue to work with SHPOs and recipients on the remaining amendments prior to December 31, 2020.

# Attachment 1: Template Amendment to Extend

**2020 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, 2019 – August 31, 2020



AMENDMENT TO  
PROGRAMMATIC AGREEMENT  
BETWEEN  
THE UNITED STATES DEPARTMENT OF ENERGY, THE [INSERT STATE NAME] ENERGY  
OFFICE AND  
THE [INSERT STATE NAME] STATE HISTORIC PRESERVATION OFFICE  
REGARDING EECBG, SEP AND WAP UNDERTAKINGS

WHEREAS, on [DATE], the United States Department of Energy (DOE), the [RECIPIENT / STATE ENERGY OFFICE], and the [STATE HISTORIC PRESERVATION OFFICE], entered into a Programmatic Agreement (Agreement) to fulfill the requirements of Section 106 of the National Historic Preservation Act for certain DOE-funded Undertakings in [STATE/TERRITORY];

WHEREAS, in 2010, as the result of unprecedented funding levels resulting from the implementation of the American Recovery and Reinvestment Act (Recovery Act), 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;

WHEREAS, 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, as applicable, and State Historic Preservation Offices (SHPOs) with a tailored method for complying with Section 106 of the National Historic Preservation Act. DOE, recipients, and SHPOs negotiated and executed subsequent programmatic agreements (subsequent PAs; i.e. this Agreement) in accordance with the Prototype PA;

WHEREAS, the Prototype PA originally provided that each subsequent PA would be valid for three years from the date of execution. As the result of ACHP's Program Comment dated March 11, 2013, however, all subsequent PAs, including this Agreement, were extended through December 31, 2020. (78 FR 16275, 16277);

WHEREAS, ACHP, NCSHPO, and DOE recognize the Prototype PA and subsequent PAs continue to provide great value to DOE, recipients, and SHPOs, notwithstanding expiration of most Recovery Act funding, this amendment extends the use of the Agreement for an additional 10 years; and

WHEREAS, DOE will send a copy of this executed amendment to the ACHP;

NOW, THEREFORE, in accordance with Stipulation XV of the Agreement, [insert the Signatories of the Agreement] agree to amend the Agreement as follows:

1. Amend Stipulation XVI so it reads as follows:

This PA will be valid until December 31, 2030, as verified with DOE filing the PA with the ACHP.

This Amendment may be executed in counterparts, each of which when so executed shall be deemed an original, but all of which shall together constitute one and the same instrument, it being understood that all parties need not sign the same counterpart. This Amendment is not effective until each party executes the Amendment.

Signatories:

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Name	Date
Title	
Office	

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Name	Date
Title	
Office	

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Name	Date
Title	
Office	

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Derek G. Passarelli	Date
Director, Golden Field Office	
Office of Energy Efficiency and Renewable Energy	
United States Department of Energy	

# Attachment 2:

## Annual Reporting Form

### (OMB Control Number 1910-5155)

**2020 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, 2019 – August 31, 2020

**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.

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

<b>Item #</b>	<b>Reporting Item</b>	<b>Instructions</b>
	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	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.
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)

Item #	Reporting Item	Instructions
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 3: Data

**2020 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, 2019 – August 31, 2020



2020 Summary Data:

<b>Historic Preservation Activities for DOE's Programs Funded by EERE/WIP</b> <b>(Reporting Period: 09/01/2019 - 08/31/2020)</b>	
(1) Total EERE/WIP Activities conducted by recipients with a subsequent PA using DOE Funds	30,053
Activities Exempt Due to Age of Property	13,407
Activities Exempt per Exemptions in Appendices A & B	15,333
Activities Exempt under CDBG Agreement	79
(2) Total Number of Exempt Activities	28,819
Recipients that Utilized a subsequent Programmatic Agreement	99
(3) Historic Preservation Reviews Completed under a subsequent PA	2,617

In the September 1, 2019 – August 31, 2020 reporting period, SEP, WAP, and EECBG recipients with subsequent PAs conducted 30,053 activities (undertakings) using DOE funds. 99 recipients reported using a subsequent PA. Of the DOE funded undertakings, 28,819 were exempt from review. 13,407 were exempt due to the age of the property, 15,333 were exempt based on Appendices A and B, and 79 were exempt based on existing Section 106 Agreement for Community Development Block Grant. 2,617 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.

2020 Summary Data by State:

Reporting Period: September 1, 2019 - August 31, 2020							
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	21	16	5		
		WAP	309	126	183		
Alaska	Yes	EECBG					
		SEP	192	192			
		WAP	122	71	8		43
American Samoa Government	Yes	EECBG					
		SEP	16		16		
		WAP					
Arizona	Yes	EECBG					
		SEP	16	8	8		
		WAP	200	161	39		
Arkansas	No	EECBG					
		SEP					
		WAP					
California	Yes	EECBG					
		SEP	1	1			
		WAP	774	297	428		49

2020 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	39	26	13		
		SEP	1	1			
		WAP	3116	1743	1373		
Connecticut	Yes	EECBG					
		SEP	11	11			
		WAP	91	26	14		51
Delaware	Yes	EECBG					
		SEP					
		WAP	55	33	22		
District of Columbia	Yes	EECBG					
		SEP					
		WAP	108		108		
Florida	Yes	EECBG					
		SEP					
		WAP	129	74			55
Georgia	Yes	EECBG					
		SEP					
		WAP	3377	317	2	17	1
Guam	No	EECBG SEP WAP					
Hawaii	Yes	EECBG					
		SEP					
		WAP	36	36			

2020 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	17		17		
		WAP	228	39	156		33
Illinois	Yes	EECBG					
		SEP					
		WAP	1675	573	291		811
Indiana	Yes	EECBG					
		SEP	4		4		
		WAP	700	287	413	0	0
Iowa	Yes	EECBG					
		SEP	1	1			
		WAP	505	287	218		
Kansas	Yes	EECBG					
		SEP					
		WAP	211	101	98		12
Kentucky	No	EECBG SEP WAP					
Louisiana	Yes	EECBG					
		SEP	1	1			
		WAP	141	106			

2020 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	909	768			141
		SEP					
		WAP	172	169	3		
Maryland	Yes	EECBG	17	7	8	1	1
		SEP					
		WAP	222	132	84	6	
Massachusetts	Yes	EECBG					
		SEP	84		84		
		WAP	721	197	524		
Michigan	Yes	EECBG					
		SEP					
		WAP	785	228	204	32	321
Minnesota	Yes	EECBG					
		SEP	17	10	7		
		WAP	1056	343	665		48
Mississippi	Yes	EECBG					
		SEP					
		WAP	10	10			
Missouri	Yes	EECBG					
		SEP	13		13		
		WAP	1064	337	526		201
Montana	Yes	EECBG					
		SEP	21		21		
		WAP	123	81	322		10

2020 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	147	9	17	12	109
Nevada	Yes	EECBG	2	1	1		
		SEP					
		WAP	82	69	7		6
New Hampshire	Yes	EECBG					
		SEP	1				1
		WAP	154	99	53		2
New Jersey	Yes	EECBG					
		SEP					
		WAP	245	45	200		
New Mexico	Yes	EECBG					
		SEP	11		11		
		WAP	735	589	117		29
New York	Yes	EECBG	4,287	1,411	4,258		
		SEP					
		WAP	1827	277	1278	3	269
North Carolina	Yes	EECBG					
		SEP					
		WAP	355	184	171		
North Dakota	Yes	EECBG					
		SEP	5	4		1	
		WAP	293	84	132	1	76

2020 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	86	43	43		
		WAP	1867	565	1302		
Oklahoma	Yes	EECBG	7	2	5		
		SEP					
		WAP	99	44	44		11
Oregon	No	EECBG					
		SEP					
		WAP	149	101	16		32
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	21	5	9	5	2
South Carolina	Yes	EECBG					
		SEP	11	6	4		1
		WAP	195	151	44		

2020 Summary Data by State (continued):

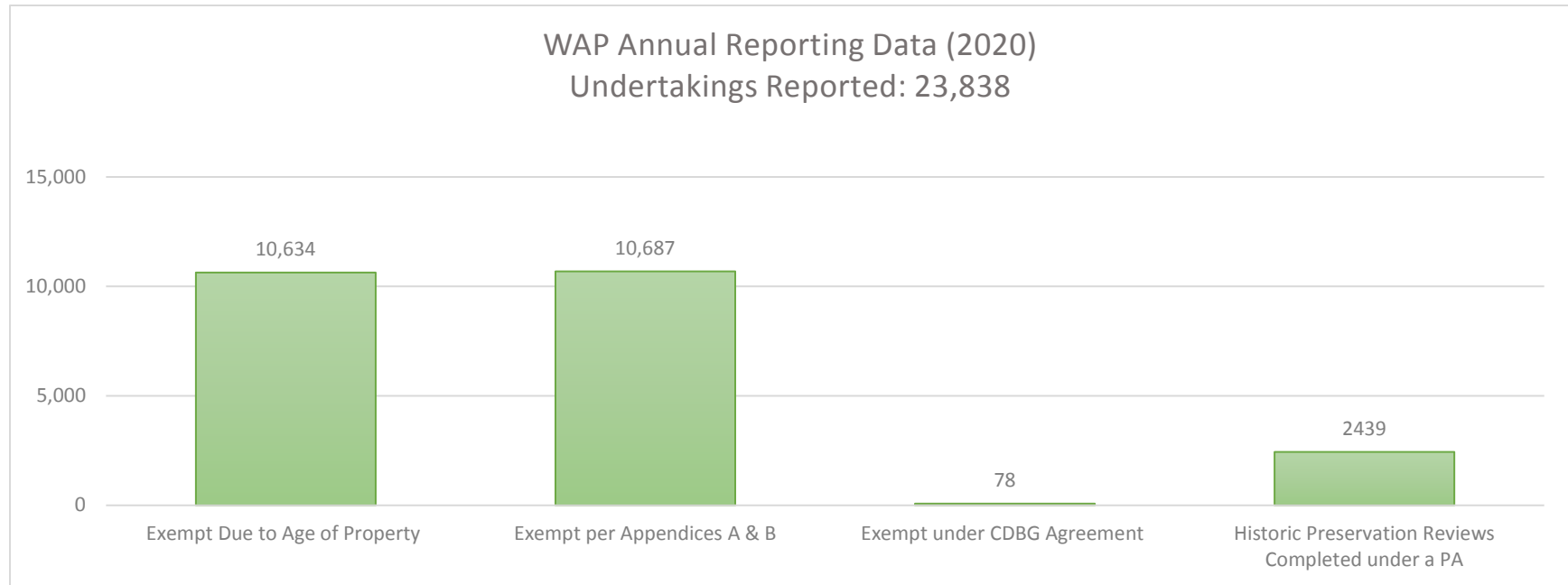
State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
South Dakota	Yes	EECBG					
		SEP	5		5		
		WAP	137	57	65		15
Tennessee	Yes	EECBG					
		SEP					
		WAP	248	153	94		
Texas	Yes	EECBG	127	103	24		
		SEP	21		21		
		WAP	498	213	156		129
Utah	Yes	EECBG					
		SEP					
		WAP	307	180	60		67
Vermont	Yes	EECBG					
		SEP	61		61		
		WAP	88	49	39		
Virginia	Yes	EECBG					
		SEP	5		5		
		WAP	616	430	171	2	13
Virgin Islands	No	EECBG SEP WAP					
Washington	Yes	EECBG					
		SEP	80	55			25
		WAP	663	400	259		4



2020 Summary Data by State (continued):

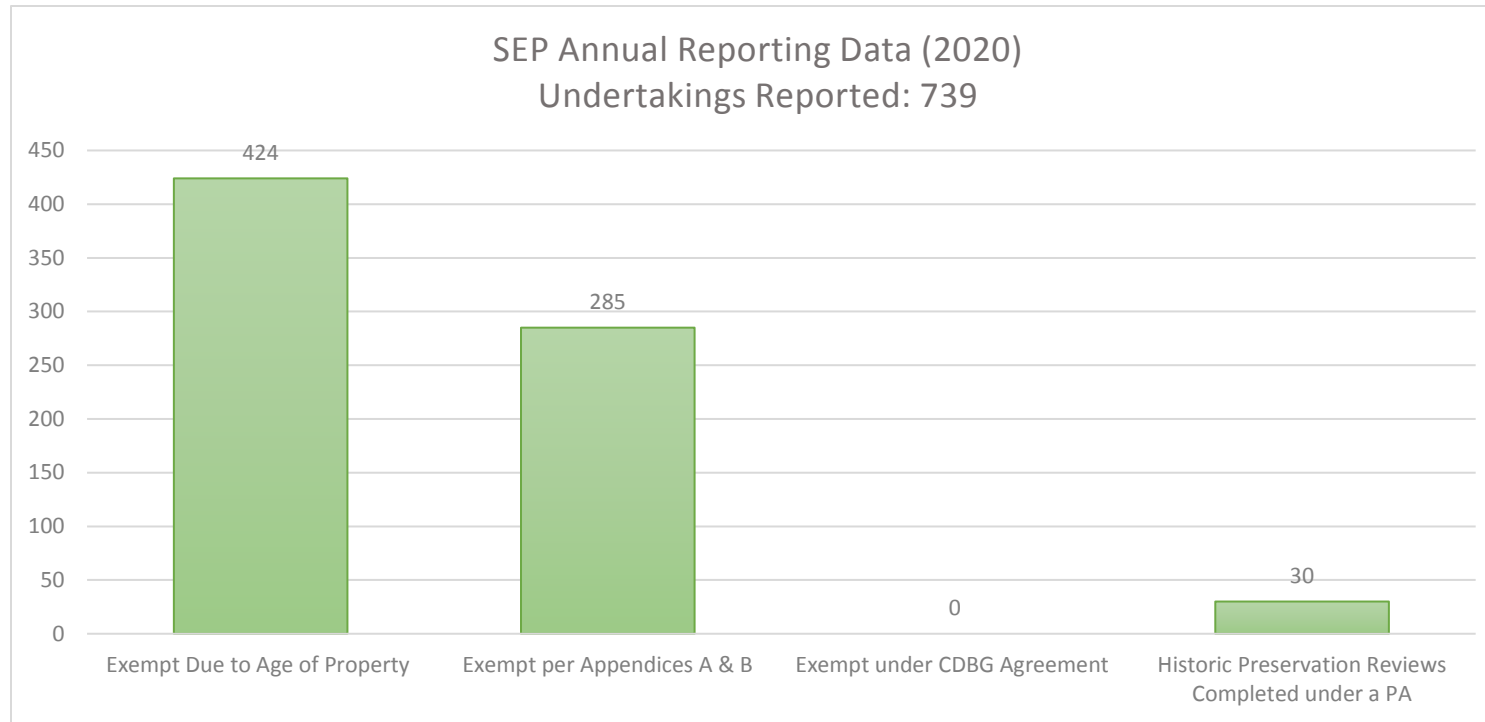
State	PA	Program	Number of Activities:				
			Completed with DOE Funds	Exempt by Age	Exempt by Appendices A or B	Exempt by CDBG Agreement	Section 106 Reviews Completed
West Virginia	No	EECBG					
		SEP	12		12		
		WAP	498	330	144		24
Wisconsin	Yes	EECBG	81	31	50		
		SEP					
		WAP	913	219	689		14
Wyoming	Yes	EECBG					
		SEP	16	2	14		
		WAP	108	53	55		
Northern Arapaho Tribe	No	EECBG SEP WAP					

## 2020 WAP Summary Data:



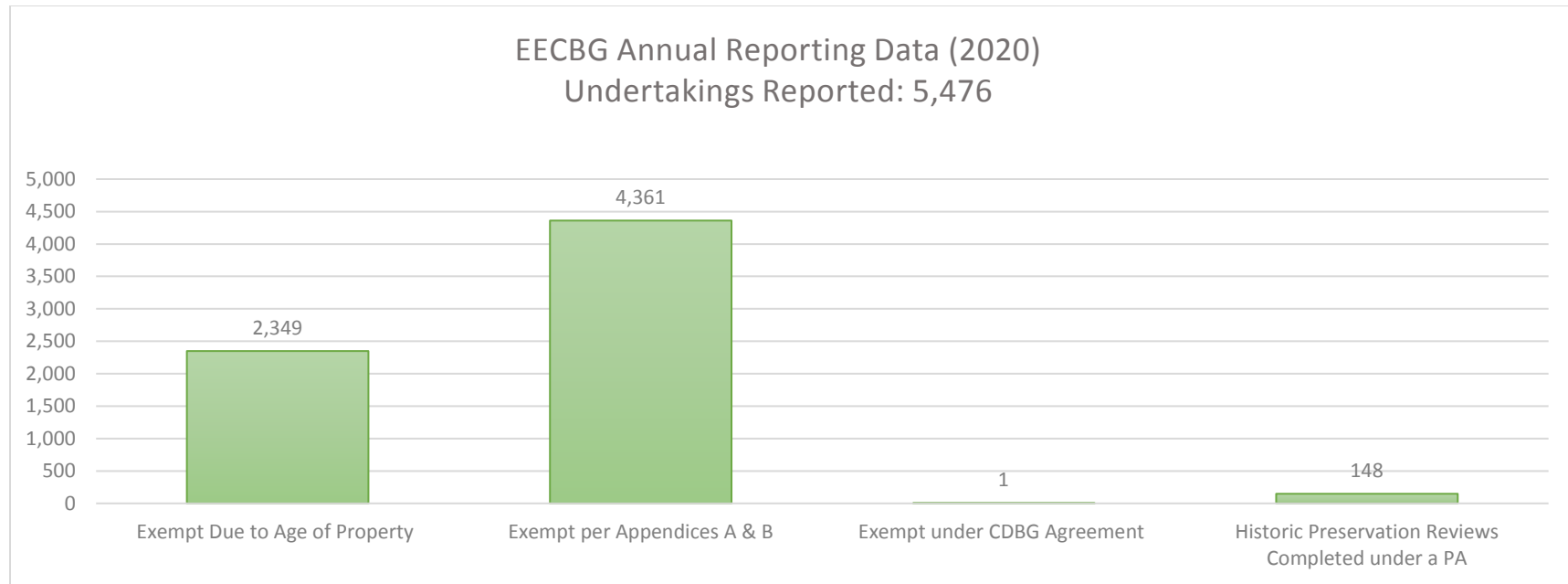
In 2020, there were 57 WAP recipients with active financial assistance awards. All 57 recipients submitted reports to DOE. Of the 57 recipients, 51 reported utilizing a subsequent PA. 23,838 undertakings were reported by recipients with a subsequent PA. Of those undertakings, 10,634 were exempt due to the age of the property, 10,687 were exempt based on Appendices A & B, 78 were exempt under a CDBG agreement, and 2,439 project-specific Section 106 reviews were completed. Since, 2014 WAP recipients have consistently reported more than 20,000 undertakings, representing the most undertakings of all three programs.

2020 SEP Summary Data:



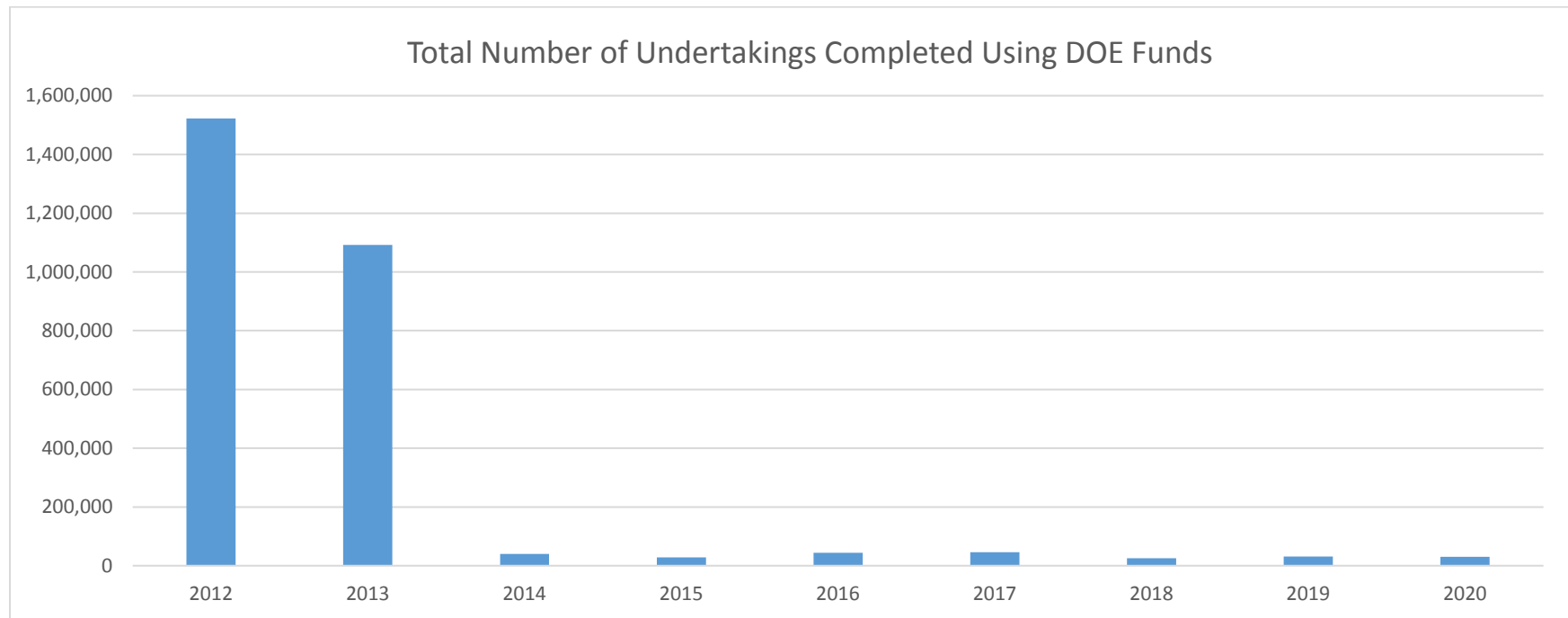
In 2020, there were 56 SEP recipients with active financial assistance awards. All 56 SEP recipients submitted reports to DOE. Of the 56 recipients, 34 reported using a subsequent PA for a total of 739 undertakings. While 53 SEP recipients have subsequent PAs, not all of those recipients had undertakings 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 (424 of the 739) were exempt due to the age of the property.

## 2020 Summary EECBG Summary Data:



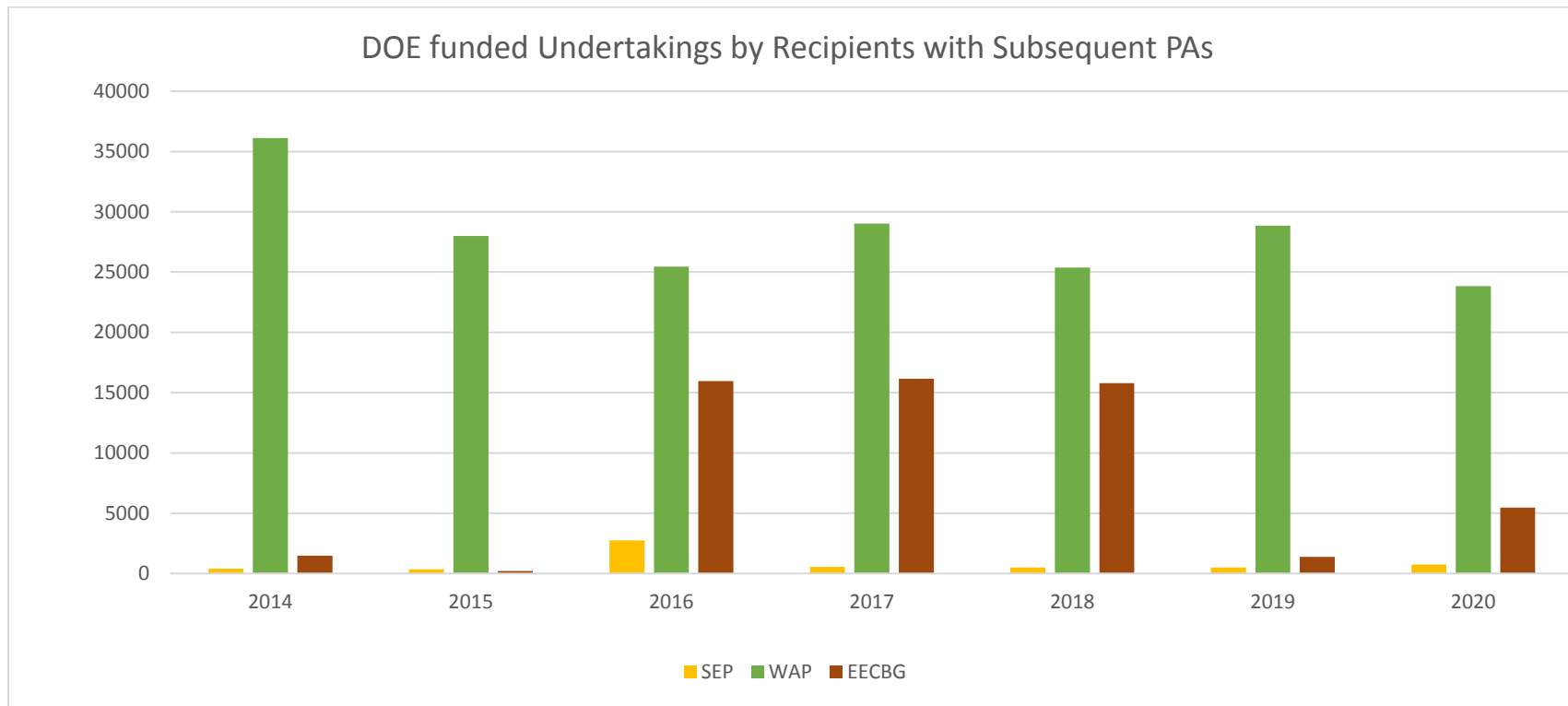
In 2020, there were 108 EECBG recipients with active finance programs using EERE funds. EERE received reports from 39 EECBG recipients. Of those 39, 14 recipients reported utilizing a subsequent PA. 5,476 undertakings were reported by EECBG recipients utilizing a subsequent PA. Of those undertakings, 2,349 were exempt due to the age of the property, 4,361 were exempt based on Appendices A & B, 1 was exempt under an existing Community Development Block Grant Agreement, and 148 project-specific Section 106 reviews were completed. The number of exempt undertakings plus the number of project-specific Section 106 reviews should equal the number of undertakings reported. There is a discrepancy of 1,383 undertakings. This discrepancy can be attributed to a single report that was completed incorrectly. The discrepancy the single report was due to the recipient reporting undertakings as exempt due to age of the building and based on Appendix A or B. If an activity is exempt based on the age of the building, it should not also be reported as exempt due to Appendix A or B. 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:



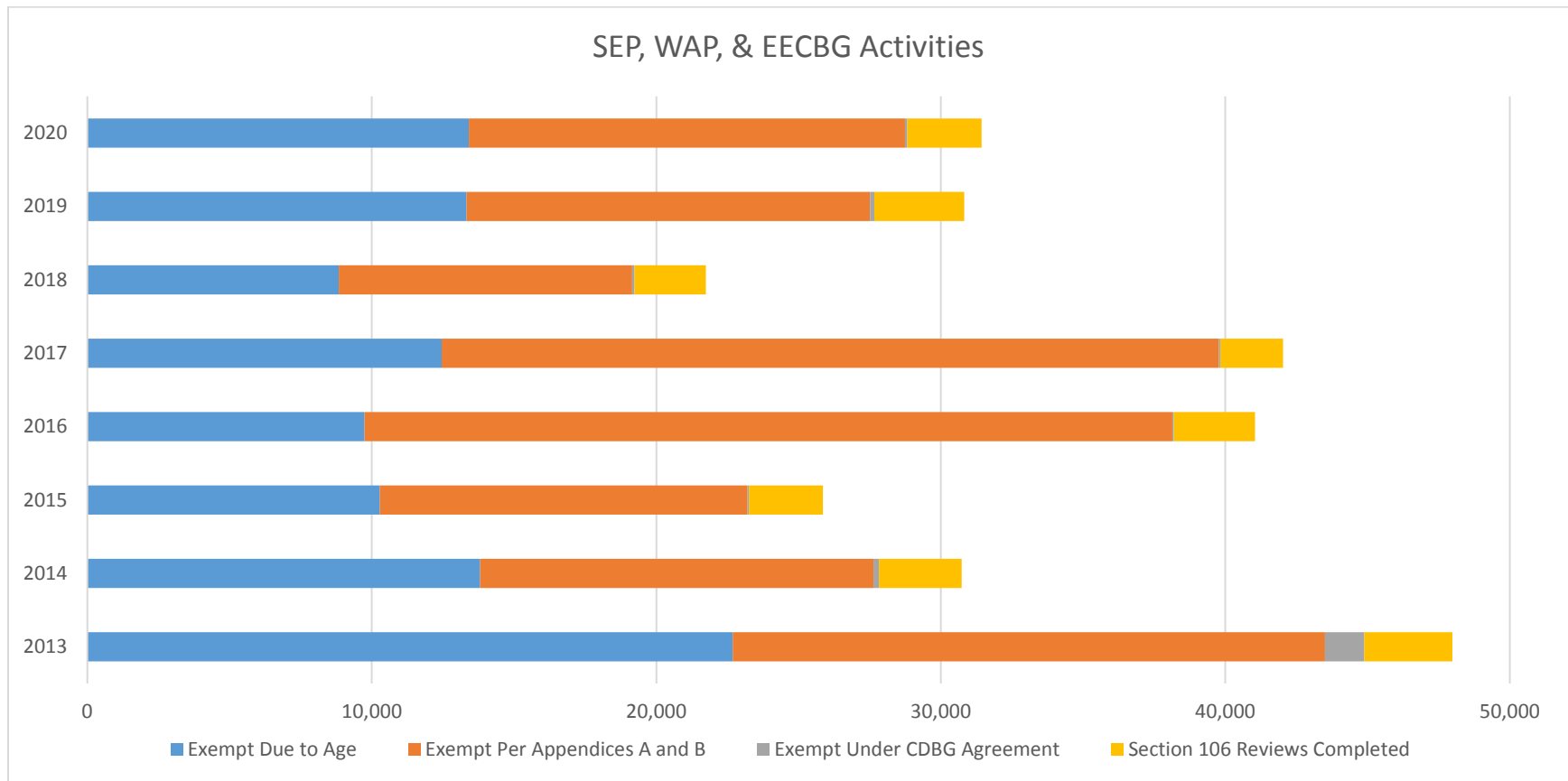
Since 2014, the total number of undertakings completed by WIP recipients utilizing subsequent PAs has been consistently in excess of 25,000 per year. While this demonstrates a significant reduction from the number of activities completed in the early years of the American Reinvestment and Recovery Act,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