

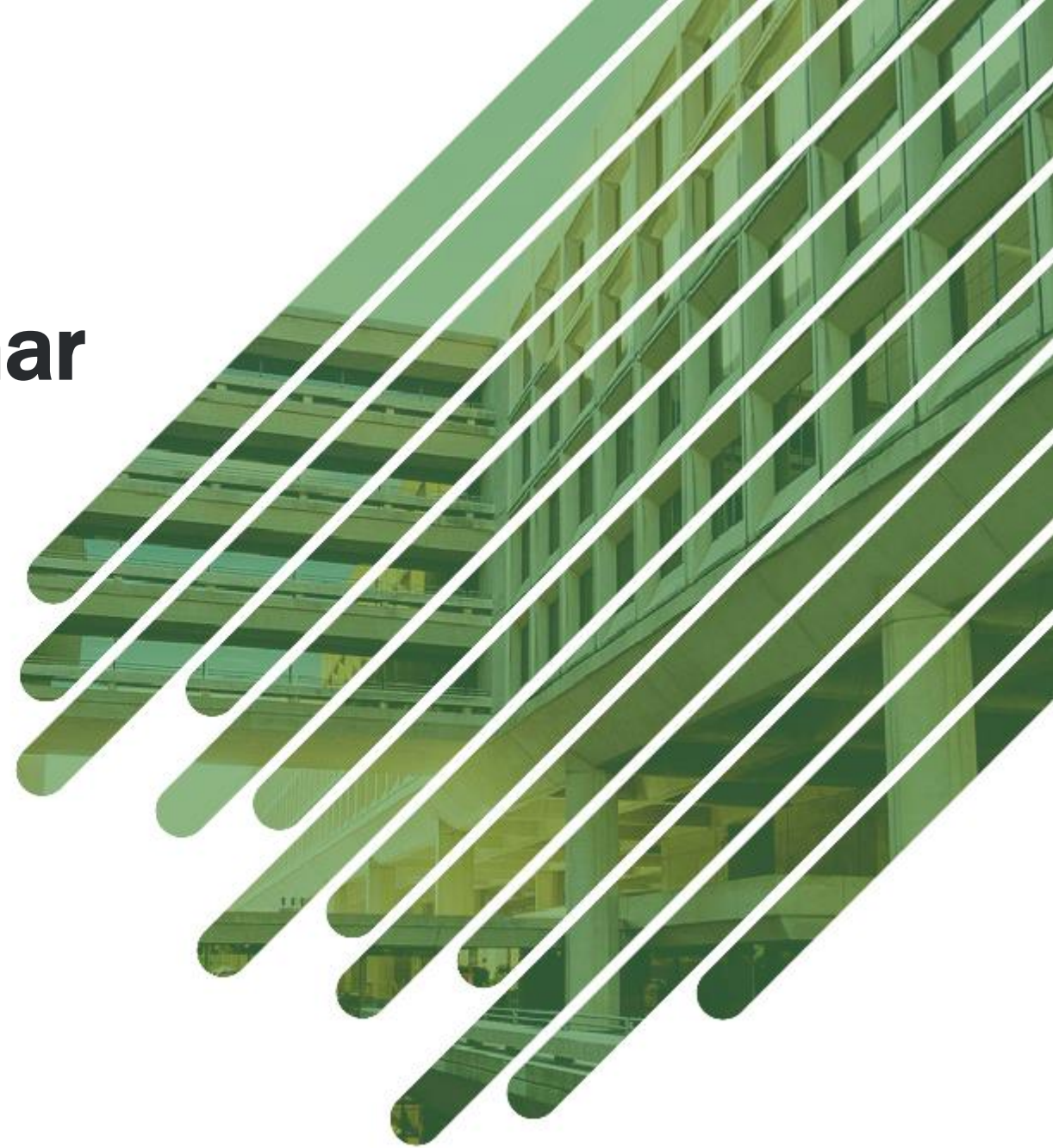


U.S. DEPARTMENT OF  
**ENERGY**

# Reporting Guidance Webinar

For Enhancement and Innovation Grantees

March 21, 2023



# Today's Session

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1. Invoicing and Allowable Costs
2. Reporting Forms and Deadlines (FFR, QPR, AHPR, AR)
3. Reminders for Grantees
4. Q+A

# Invoicing and Allowable Costs

# Invoicing

## General

- Grantees can expect tailored invoicing guidance dependent on the Terms and Conditions of their award in the coming weeks
- The *Payment Procedures* section in each grant's *Special Terms and Conditions* describes the high-level invoicing process
- Factors such as federal grant experience and subrecipient funding allocation determine each E&I grantee's payment method

## Allowable Costs

- DOE determines the allowability of costs through reference to [2 CFR part 200: Subpart E – Cost Principles](#)
- Records must be adequate to demonstrate that costs claimed have been incurred, are **reasonable, allowable and allocable**
- The Recipient must document and maintain records of all project costs and may be required to provide such records to DOE, upon request
- Items with a unit cost of \$5,000 or more have the prior written approval of the Federal awarding agency or pass-through entity.

# Reporting Forms and Deadlines

# Reporting Reminders

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## General

- E&I Grantees must follow their approved SOPO and Terms & Conditions of the award
- Notify DOE of any changes to the approved award, including but not limited to key personnel, recipients, planned performance measures and/or budgets

## Performance and Accountability for Grants in Energy (PAGE) System

- E&I Grantees are required to update information in PAGE
- Keep information current for the appropriate points of contact to receive notifications
- Today's session will cover PAGE reporting forms

# E&I Reporting Timeline

## Acronyms

QPR - Quarterly Program Report | FFR - Federal Financial Report or SF-425 | AR - Annual Report | AHPR - Annual Historic Preservation Report

Mar 1, 2023 - Feb 28, 2024

YR 1 - PERIOD OF PERFORMANCE

Apr 1, 2023 - Jun 30, 2023

YR 1 - QTR 2

Jul 1, 2023 - Sep 30, 2023

YR 1 - QTR 3

Oct 1, 2023 - Dec 31, 2023

YR 1 - QTR 4

Jan 1, 2024 - Mar 31, 2024

YR 2 - QTR 1

Apr 1, 2024 - Jun 30, 2024

YR 2 - QTR 2

QPR and FFR Due  
Apr 30, 2023



QPR and FFR Due  
Jul 30, 2023



AHPR Due  
Sep 15, 2023



QPR and FFR Due  
Oct 30, 2023



QPR and FFR Due  
Jan 30, 2024



QPR and FFR Due  
Apr 30, 2024



AR Due  
May 30, 2024



Mar.

Apr.

May

Jun.

Jul.

Aug.

Sep.

Oct.

Nov.

Dec.

Jan.

Feb.

Mar.

Apr.

May

Jun.

# **Federal Assistance Reporting Checklist (FARC)**



## General

- FARC checklist may vary across grantees but will generally look like this.

## Not All Categories Will Apply

- Some categories are checked **in case** they apply. For example:
  - » **Scientific and Technical Reporting:** IF you submit a journal article for publication, present at a conference, etc., then you must report in OSTI.
  - » **Intellectual Property Reporting:** IF your project results in an invention, then you must report in iEdison.

4. Reporting Requirements (see also the EERE Special Instructions) <i>Detailed instructions included after the Table of Contents</i>	Frequency	Addresses
<b>I. PROJECT MANAGEMENT REPORTING</b>		
<input checked="" type="checkbox"/> A. WAP E&I Quarterly Performance Report	Q	A. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> B. Financial Report (SF-425)	F, Q	B. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> C. Scientific and Technical Reporting		
<input checked="" type="checkbox"/> 1. Accepted Manuscript of Journal Article(s)	A5, P	C.1. <a href="#">OSTI E-Link</a>
<input checked="" type="checkbox"/> 2. Conference Product(s)	A5, P	C.2. <a href="#">OSTI E-Link</a>
<input checked="" type="checkbox"/> 3. Technical Report(s)	A5, P	C.3. <a href="#">OSTI E-Link</a>
<input checked="" type="checkbox"/> 4. Software & Manual(s)	A5, P	C.4. <a href="#">DOE CODE</a>
<input checked="" type="checkbox"/> 5. Dataset(s)	A5, P	C.5. <a href="#">OSTI E-Link Datasets</a>
<input checked="" type="checkbox"/> 6. Other STI (Dissertation / Thesis, etc.)	A5, P	C.6. <a href="#">OSTI E-Link</a>
<input checked="" type="checkbox"/> D. Intellectual Property Reporting		
<input checked="" type="checkbox"/> 1. Intellectual Property Reporting	A5, P	D.1. <a href="#">iEdison</a>
<input checked="" type="checkbox"/> 2. Invention Utilization Report	A5, P	D.2. <a href="#">iEdison</a>
<input type="checkbox"/> E. Project Management Plan (PMP)		E. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> F. Special Status Report	A5	F. Email to DOE Project Officer
<input type="checkbox"/> G. Continuation Application	A5	G. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input type="checkbox"/> H. Other (see Special Instructions)	A5	H. See Special Instructions
<b>II. AWARD MANAGEMENT REPORTING</b>		
<input checked="" type="checkbox"/> A. Participants and Collaborating Organizations	A5	A. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> B. Current and Pending Support	A5	B. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> C. Demographic Reporting	A5	C. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input type="checkbox"/> D. Tangible Personal Property Report - Annual Property Report (SF-428 & SF-428A)	Y	D. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> E. Tangible Personal Property Report – Disposition Request/Report (SF-428 & SF-428C)	A5	E. Email to DOE Project Officer
<input checked="" type="checkbox"/> F. Uniform Commercial Code (UCC) Financing Statements	A5	F. See section II. F. for instructions and due dates
<input checked="" type="checkbox"/> G. Federal Subaward Reporting System (FSRS)	A5	G. <a href="#">FSRS</a>
<input checked="" type="checkbox"/> H. Annual Incurred Cost Proposal	Y180	H. See section II. H. for instructions and due dates
<input type="checkbox"/> I. DOE For-Profit Compliance Audit	O	I. See section II. I. for instructions and due dates
<input checked="" type="checkbox"/> J. Single Audit: States, Locals, Tribal Governments, and Non-Profits	O	J. See section II. J. for instructions and due dates
<input checked="" type="checkbox"/> K. Other (see Special Instructions)	A	K. See Special Instructions
<b>III. CLOSEOUT REPORTING</b>		
<input checked="" type="checkbox"/> A. Final Scientific/Technical Report	F	A. <a href="#">OSTI E-Link</a>
<input type="checkbox"/> B. Invention Certification (DOE F 2050.11)	F	B. <a href="https://www.page.energy.gov">https://www.page.energy.gov</a>
<input checked="" type="checkbox"/> C. Tangible Personal Property Report – Final Report (SF-428 & SF-428B)	F	C. Email to DOE Project Officer
<input checked="" type="checkbox"/> D. Verification of Receipt of Accepted Manuscripts	F	D. See section III.D. for instructions and due dates
<input type="checkbox"/> E. Other (see Special Instructions)	F	E. See Special Instructions
<b>IV. POST-PROJECT REPORTING</b>		
<input type="checkbox"/> A. Scientific and Technical Reporting	P	<a href="#">A. OSTI E-Link</a>
<input type="checkbox"/> B. Intellectual Property Reporting	P	<a href="#">B. iEdison</a>

# Federal Financial Report SF-425

# E&I Federal Financial Report (SF-425)

## Purpose

- Enables DOE to review cumulative expenses incurred under each award and the financial status of those funds to ensure the project is staying within the parameters of the agreement

## Timeline

- Due quarterly, 30 days after the end of the reporting period

## Instructions

Grantees should submit the SF-425 within PAGE and review instructions carefully to ensure timely

- E&I Grantees without production in their work plans (e.g., workforce development) will leave the production portion of QPR blank
- Instructions can be found here: <https://www.page.energy.gov/Helpc/PAGE.htm>

10. Transactions			
Federal Cash	Previously Approved	This Period	Cumulative
a. Cash Receipts	\$0.00	\$ 400.00	\$ 400.00
b. Cash Disbursements	\$0.00	\$ 333.00	\$ 333.00
c. Cash on Hand (line a minus b)	\$0.00	\$ 67.00	\$ 67.00

Federal Expenditures and Unobligated Balance	Previously Approved	This Period	Cumulative
d. Total Federal Funds Authorized			\$ 0.00
e. Federal Share of Expenditures	\$0.00	\$ 332.00	\$ 332.00
f. Federal Share of Unliquidated Obligations	\$0.00		\$ 0.00
g. Total Federal Share (sum of lines e and f)	\$0.00		\$ 332.00
h. Unobligated Balance of Federal Funds (line d minus g)			-332.00

Recipient Share	Previously Approved	This Period	Cumulative
i. Total Recipient Share Required	\$0.00	\$ 2,200.00	\$ 2,200.00
j. Recipient Share of Expenditures 90% to date ⓘ	\$0.00	\$ 300.00	\$ 300.00
k. Remaining Recipient Share to Be Provided (line i minus j)	\$0.00	\$ 1,900.00	\$ 1,900.00

Program Income	Previously Approved	This Period	Cumulative
l. Total Federal Program Income Earned	\$0.00	\$ 200.00	\$ 200.00
m. Program Income Expended in Accordance with the Deduction Alternative	\$0.00	\$ 33.00	\$ 33.00
n. Program Income Expended in Accordance with the Addition Alternative	\$0.00	\$ 23.00	\$ 23.00
o. Unexpended Program Income (line l minus line m or line l minus line n)	\$0.00	\$ 144.00	\$ 144.00

# E&I Federal Financial Report (SF-425)

## [View SF-425 Instructions](#)

### PVE Funds

- Petroleum Violation Escrow (PVE) funds or oil-overcharge funds from fines paid by oil companies in violation of the federal price caps in place from 1973-1981
- States may use these funds to finance to funds energy efficiency and renewable energy projects
- Contact PO prior to reporting funds in this category

### Leveraged Funds

- Only report leveraged funds if included in DOE approved budget.
- Contact PO prior to reporting funds in this category.

**Remarks**

Save

**11. Indirect Expense**

a. Type	b. Rate	c. Period	d. Base	e. Amt. Charged	f. Federal Share
Previously Approved			\$0.00	\$0.00	\$0.00
No records found					
g. Total			\$0.00	\$0.00	\$0.00

[Add New Record](#)

**Petroleum Violation Escrow (PVE) Funds**

PVE Source	Previously Approved	This Period	Cumulative
No records found			
Total	\$0.00	\$0.00	\$0.00

[Add New Record](#)

**Leveraged Funds (Third Parties Funds)**

Leveraged Source	Previously Approved	This Period	Cumulative
No records found			
Total	\$0.00	\$0.00	\$0.00

[Add New Record](#)

# Quarterly Performance Report (QPR)

# E&I Quarterly Performance Report (QPR)

## Purpose

- Enables DOE to (1) track recipients’ activities, progress in achieving scheduled milestones, and funds expended and (2) provide information on program activities to OMB, Congress, and the public

## Timeline

- Due quarterly, 30 days after the end of the reporting period

## Instructions

- Grantees should submit the QPR within PAGE and review instructions carefully to ensure timely acceptance
  - E&I units may only be reported to DOE after the final inspection of the E&I measures is completed
  - If braiding E&I funds with DOE WAP funds, the unit must be reported within both WAP QPR and E&I QPR
  - E&I Grantees without production in their work plans (e.g., workforce development) will leave the production portion of QPR blank

Grantee: \_\_\_\_\_ Budget period: / / - / / Grant Number: \_\_\_\_\_

### I. GRANT OUTLAYS - FUNDS SUBJECT TO DOE PROGRAM RULES (rounded to the nearest dollar)

Reporting Period Quarter	/ - /	/ - /	/ - /	/ - /	Total To Date
	Q1	Q2	Q3	Q4	
A. OUTLAYS BY FUND SOURCE					
DOE					
Other funds included in grant budget, section A					
Total Grant Outlays					
B. OUTLAYS BY FUNCTION					
Administration					
Health and Safety					
Training and Technical Assistance					
Program Operations					
Liability Insurance					
Financial Audits					
Vehicles and Equipment					
Total Grant Outlays					
C. OUTLAYS IN DISADVANTAGED COMMUNITIES					
Total DOE funds					
Job training funds					
Other funds included in grant budget, section A					
Total Grant Outlays					

Notes: Total grant outlays must equal outlays reported on the Federal Financial Report, line 10.e.

# QPR Section 1: Grant Outlays

## 1.A. Outlays by Fund Source

- Outlays (i.e., expenditures) this quarter and period of performance to date for each fund source

## 1.B. Outlays by Function

- Outlays this quarter and program year to date for each function
- Total must equal total in Outlays by Fund Source

## 1.C. Outlays in Disadvantaged Communities

- Outlays in disadvantaged communities this quarter and program year to date for DOE funds, T&TA funds, and other

*Total grant outlays must equal outlays reported on the Federal Financial Report, line 10.e.*

*“Other funds listed in the grant budget, Section A”, includes federal, state, local, and private funds that are part of the approved DOE grant budget*

### I. Grant Outlays - Funds subject to DOE program rules (rounded to nearest dollar)

#### A. Outlays by Fund Source: (numbers shown are from SF-425)

Source	This Period	Total To Date*
Federal	\$0.00	\$0.00
State	\$0.00	\$0.00
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>

\* Budget period total to date

#### B. Outlays by Function

Function	Budgeted	This Period <input checked="" type="checkbox"/>	Total To Date*	% **
GRANTEE ADMINISTRATION	\$2.00	\$0.00	\$0.00	0%
SUBGRANTEE ADMINISTRATION	\$1.00	\$0.00	\$0.00	0%
<b>Total</b>	<b>\$3.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>0%</b>

\* Budget period total to date

\*\* Total outlays to date as a percentage of the total budgeted amount for each function

#### C. Outlays In Disadvantaged Communities

Source	This Period <input checked="" type="checkbox"/>	Total To Date*
Total DOE funds	\$299.00	\$299.00
Job training funds	\$333.00	\$333.00
Other funds included in grant budget, section A	\$322.00	\$322.00
<b>Total</b>	<b>\$954.00</b>	<b>\$954.00</b>

\* Budget period total to date

# QPR Section 2: Grant Production

## 2.A. E&I Units

Units completed this quarter with approved DOE budget.

### 2.A.1. Units in disadvantaged communities

- Total number of units completed this quarter in disadvantaged communities\*.
- Sum should be less than or equal to the total units completed with approved DOE budget.


### 2.A.2. Units by level of household income

- Number of completed units this quarter by level specified.
- Sum should equal total units completed with approved DOE budget.

### 2.A.3 Units by type

- Number completed this quarter by type specified.
- Sum should equal total units completed with approved DOE budget.

## II. Grant Production

Weatherization Assistance Activity	This Period 	Total To Date***
A. TOTAL E&I UNITS (includes other funds if included in DOE budget)	200	200
<b>1. UNITS IN DISADVANTAGED COMMUNITIES</b>	100	100
<b>2. UNITS BY LEVEL OF HOUSEHOLD INCOME (% FPL)</b>		
< 75%	100	100
76 – 100%	50	50
101 – 150%	25	25
> 150%	25	25
Categorically Eligible	0	0
<b>3. UNITS BY TYPE</b>		
Owner-Occupied Single Family	25	25
Renter-Occupied Single Family	75	75
Owner-Occupied 2-4 units per site	25	25
Renter-Occupied 2-4 units per site	75	75
Multifamily, 5 or more units per site	0	0
Owner-Occupied Manufactured Home	0	0
Renter-Occupied Manufactured Home	0	0
Shelter	0	0

\*Use the DAC definition approved in your T&C



# QPR Section 2: Grant Production (cont.)

## 2.A.4. Units by primary heating fuel

- Number of units completed by category of primary heating fuel.
- Primary heating fuel is the fuel that provides the most space heat in the home prior to installation of any E&I measures.

## 2.A.5. Units by occupant

- Number of units completed by category of occupant.
- The sum will not equal total units completed.

## 2.B. Leveraged units

- Units completed with other funds not included in the DOE budget, provided any part of the definition of an E&I unit has been met.

## 2.C. Total people assisted with grant funds

- Persons assisted with funds included in the DOE budget.
- Sum of persons by category will not equal total persons assisted.

4. UNITS BY PRIMARY HEATING FUEL**		
Natural Gas	25	25
Fuel Oil	0	0
Electricity	0	0
Propane/LPG	0	0
Kerosene	25	25
Wood	25	25
Other Fuel	75	75
No Heating System	50	50
5. UNITS BY OCCUPANCY		
Elderly-Occupied	50	50
Disabled-Occupied	0	0
Native American-Occupied	50	50
Children-Occupied	0	0
High Residential Energy User	50	50
Household with High Energy Burden	50	50
B. LEVERAGED UNITS (units completed with other funds not included in DOE budget)	55	55
C. TOTAL PEOPLE ASSISTED WITH GRANT FUNDS (all funds in approved budget)	400	400
Elderly	100	100
Persons with Disabilities	100	100
Native American	100	100
Children	100	100

\*\* "Primary Heating Fuel" is the fuel that provides the most space heat in the home.  
 \*\*\* Budget period total to date

# QPR Section 3: E&I Metrics

## 3.A. Client Education

- Total hours provided this quarter.

## 3.B. Number of MBEs and MWVBs

- Number of new contracts executed by Grantee this quarter, and year to date.

## 3.C. Weatherization-Readiness

- E&I Metrics for Grantees with awards to make homes weatherization-ready.


### 3.C.1 Number of units rehabilitated

- Number of units rehabilitated to be weatherization-ready by unit type.
- Sum should be equal to or less than total units completed with funds in the approved DOE budget.

### 3.C.2 Deferral Reason

- Number of units completed this quarter by reason.
- The sum may be higher than the total units completed with funds in the approved DOE budget, if units have multiple deferral reasons.

### III. E&I Metrics

Metric	This Period 	Total To Date
A. Client Education (total hours)	40.0	40.0
B. Number of Minority Serving Institutions, Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses Contracting with Grantee	2	2
<b>C. WEATHERIZATION-READINESS</b>		
<b>1. Number of units rehabilitated to be weatherization-ready</b>		
Owner-Occupied Single Family	10	10
Renter-Occupied Single Family	0	0
Owner-Occupied 2-4 units per site	10	10
Renter Occupied 2-4 units per site	0	0
Multifamily, 5 or more units per building	10	10
Owner-Occupied Manufactured Home	20	20
Renter-Occupied Manufactured Home	0	0
Shelter	0	0
<b>2. Deferral Reason (# of Units)</b>		
Roof Repair or Replacement	5	5
Electrical Repair	10	10
Plumbing Repair	10	10
Remediation of Environmental Hazard	5	5
Other	0	0

# QPR Section 3: E&I Metrics (cont.)

## 3.C.3. Number of units made electrification-ready

- Number of units rehabilitated to be electrification-ready by unit type.
- The sum be equal to or less than total units completed with funds in the approved DOE budget.

## 3.D. Enhancing Indoor Environments

- E&I Metrics for Grantees with awards to enhance indoor environments.

### 3.D.1. Health and Safety Measures Installed

- Number of units completed this quarter by the measure category.
- Units may receive multiple measures so the sum may be higher than the total units completed with funds in the approved DOE budget.

## 3.E. Workforce development

### 3.E.1. Total number of FTE workers hired

- Sum of FTE workers hired this quarter.

### 3.E.2 Total number of FTE workers retained

- Sum of FTE workers reported as hired under this E&I grant award and retained this quarter.

### 3.E.3. Number of workers hired by demographic

- Number of Full Time Equivalent (FTE) workers hired this quarter by category.
- Workers may be counted in multiple categories; sum may exceed total workers hired.

<b>3. Number of units made electrification-ready</b>	50	50
Owner-Occupied Single Family	10	10
Renter-Occupied Single Family	10	10
Owner-Occupied 2-4 units per site	10	10
Renter Occupied 2-4 units per site	0	0
Multifamily, 5 or more units per building	0	0
Owner-Occupied Manufactured Home	10	10
Renter-Occupied Manufactured Home	10	10
Shelter	0	0
<b>D. ENHANCE INDOOR ENVIRONMENTS</b>		
<b>1. Health and Safety Measures Installed (# of units)</b>		
Mold and Moisture Remediation	10	10
Suspected Asbestos Testing and Treatment	10	10
Address Occupant Health Conditions	0	0
Lead Paint Testing and Remediation	10	10
Accessibility Improvements	0	0
Other	0	0
<b>E. WORKFORCE DEVELOPMENT</b>		
<b>1. Total number of Full Time Equivalent (FTE) workers hired - Planned 2</b>	200.00	200.00
<b>2. Total number of FTE workers retained - Planned 1</b>	200.00	200.00
<b>3. Number of FTE workers hired by demographic</b>		
Minorities	100.00	100.00
Women	300.00	300.00
Veterans	0.00	0.00
Persons with Disabilities	0.00	0.00
Socioeconomically Disadvantaged	0.00	0.00

# QPR Section 3: E&I Metrics (cont.)

## 3.E.4. Number of workers trained by demographic

- Number of FTE workers that completed a training and/or earned a certification this quarter by the categories specified.
- Workers may be counted in multiple categories and sum may exceed total workers hired.

## 3.E.5. Number of workers retained by demographic

- Number of FTE workers reported as hired under this E&I award and retained this quarter by the categories specified.
- Workers may be counted in multiple categories and sum may exceed total workers retained.

## F. Renewable Energy and New Technology

- E&I Metrics for Grantees with awards to install renewable energy and new technologies.

### 3.F.1. Technologies installed

- Number of units receiving renewable energy and new technologies, by technologies specified.
- The sum may be higher than the total units completed with funds in the approved DOE budget, if units receive multiple technologies.

4. Number of FTE workers trained or certified by demographic		
Minorities	100.00	100.00
Women	0.00	0.00
Veterans	0.00	0.00
Persons with Disabilities	0.00	0.00
Socioeconomically Disadvantaged	200.00	200.00
5. Number of FTE workers retained by demographic		
Minorities	100.00	100.00
Women	0.00	0.00
Veterans	100.00	100.00
Persons with Disabilities	0.00	0.00
Socioeconomically Disadvantaged	0.00	0.00
F. RENEWABLE ENERGY & NEW TECHNOLOGY		
1. Technologies Installed (# of units)		
Solar Photovoltaic	10	10
Solar Water Heater	0	0
On-demand Water Heater	0	0
Heat Pump Water Heater	0	0
Air or Ground Source Heat Pump (heating and cooling)	20	20
Home Energy Management System	0	0
Smart Devices	0	0
Other	0	0

# QPR Section 3: E&I Metrics (cont.)

## F. Renewable Energy and New Technology (cont.)

### 3.F.2. Clean energy total installed capacity

- Report the total installed capacity for jobs reported as complete this quarter, in kilowatts or BTUs per hour for solar thermal/hot water

### 3.F.3. Clean energy total installed capacity in disadvantaged communities

- Report the total installed capacity for jobs reported as complete this quarter in underserved communities, in kilowatts or BTUs per hour for solar thermal/hot water

2. Clean Energy - Total Installed Capacity		
Kw	200.0	200.0
BTUs per hour	0.0	0.0
3. Clean Energy - Total Installed Capacity in Disadvantaged Communities		
Kw	300.0	300.0
BTUs per hour	0.0	0.0

# QPR Section 3: E&I Metrics (cont.)

## G. Energy Burden

### 3.G.1. Total Annual Household Energy Expenditures (in dollars)

- For units completed this quarter, report the sum of each household’s annual energy use expenses (e.g., electricity, natural gas, and other home heating fuels, in dollars) prior to installation of any E&I measures.

### 3.G.2. Total Annual Household Energy Expenditures in Disadvantaged Communities (in dollars)

- For units completed in disadvantaged communities this quarter, report the sum of each household’s annual energy use expenses (e.g., electricity, natural gas, and other home heating fuels, in dollars) prior to installation of any E&I measures.

G. ENERGY BURDEN		
<b>1. Total Annual Household Energy Expenditures (in dollars)</b>	\$500.00	\$500.00
<b>2. Total Annual Household Energy Expenditures in Disadvantaged Communities (in dollars)</b>	\$400.00	\$400.00

# Annual Historic Preservation Report (AHPR)

# Annual Historic Preservation Report

## Purpose

- Annual Historic Preservation Report is mandated by Section 106 of the National Historic Preservation Act of 1966 (NHPA), requires federal agencies to **consider the effects on historic properties** of projects they carry out, assist, fund, permit, license, or approve throughout the country

## Timeline

- Due annually by September 15
- Covers the reporting period from September 1 through August 31
- Some E&I grants will require quarterly NEPA logs
- See E&I award Terms and Conditions and your project’s NEPA Determination for details

## Instructions

- General information is available on the [NEPA webpage](#)

OMB Control Number 1910 - 5155

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 EECEBG, 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.



# **E&I Annual Report (AR)**

# E&I Annual Report Contents



**Summary of Activities  
During Previous Year**



**Training And Technical  
Assistance Activities**



**Monitoring And  
Evaluation Activities**



**Leveraging Activities**



**Diversity, Equity And  
Inclusion**



**Justice40 Initiative**

# E&I Annual Report

## Purpose

- Enables DOE to (1) track recipients' activities, progress in achieving scheduled milestones, and funds expended and (2) provide information on program activities to OMB, Congress, and the public.

## Timeline

- Due annually, 90 days after the end of the project period by May 30

## Instructions

- Grantees should submit the Annual Reports within PAGE and review instructions carefully to ensure timely acceptance.

DOE F 540.7

OMB Control No. 1910-5157  
Expiration date: 05/31/2025

**U.S. Department of Energy**  
**WEATHERIZATION ASSISTANCE PROGRAM ENHANCEMENT AND INNOVATION (E&I)**  
**ANNUAL REPORT**

Grantee \_\_\_\_\_ Program Year \_\_\_\_\_ Grant Number \_\_\_\_\_

Reporting period \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

### SUMMARY OF ACTIVITIES DURING PREVIOUS YEAR

1. Describe the successes, challenges and lessons learned:
  - a. What went well this year? Program highlights, successful projects, etc.
  - b. What challenges were experienced and how did you overcome them?
  - c. What are the major issues you will face in meeting grant goals moving forward?
2. Statement of Project Objectives (SOPO) Tasks and Milestones
  - a. Describe the status of each task and milestone from your SOPO.
  - b. Explain any variances between your planned activities and budget and the actual milestone status and expenditures.
  - c. Provide any available detail on project outcomes and performance measures.
  - d. Describe any recommendations and feedback to DOE; for example, technical assistance or guidance required.

Text box for narrative

### TRAINING AND TECHNICAL ASSISTANCE ACTIVITIES

Describe any Training and Technical Assistance (T&TA) conducted with grant funds including training topics, dates, attendees, training provider, etc. Include a description of any partnerships with labor organizations, unions or other organizations.

Text box for narrative

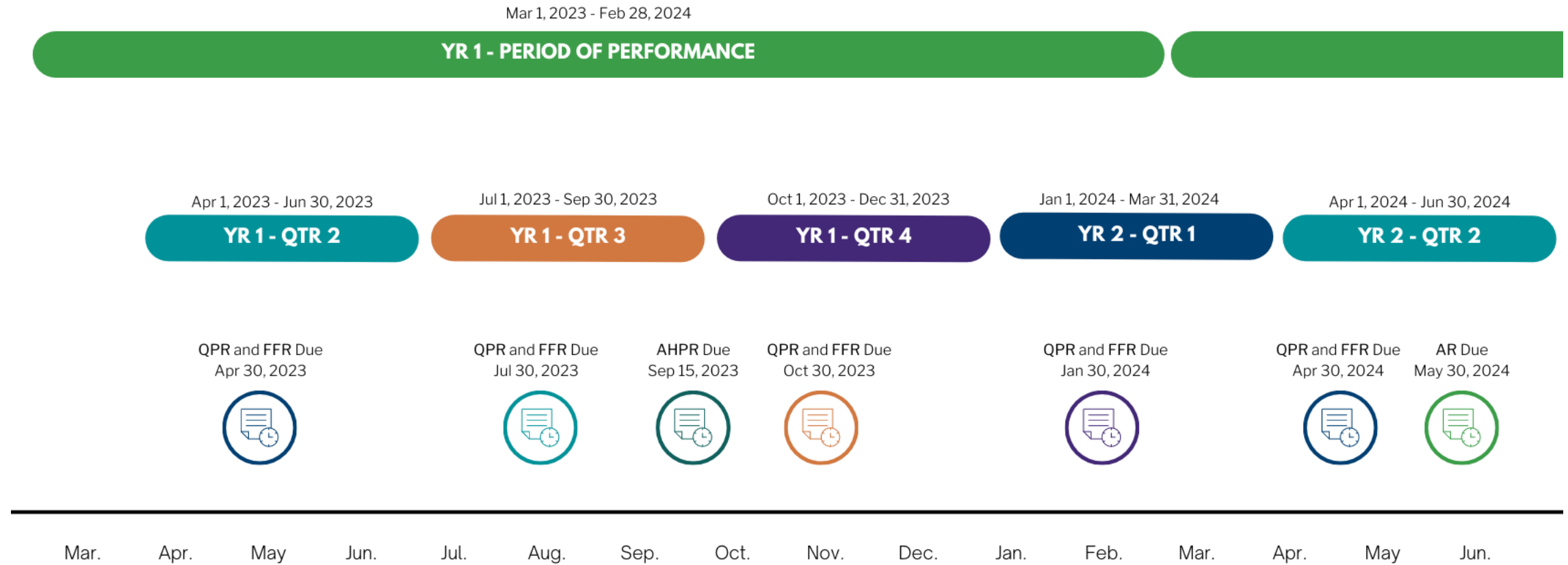
### MONITORING AND EVALUATION ACTIVITIES

Discuss monitoring and evaluation activities conducted during reporting period such as findings, recommendations or concerns issued related to performance and/or work quality, a summary of performance measures not included in the quarterly performance report, and any modifications to the monitoring and evaluation plan for the upcoming reporting period.

# E&I Reporting Timeline

## Acronyms

QPR - Quarterly Program Report | FFR - Federal Financial Report or SF-425 | AR - Annual Report | AHPR - Annual Historic Preservation Report



# Reminders for Grantees

## Weatherization Program Notice: 23-5 | February 23, 2023

23-5 describes applicable WAP E&I policies and reporting requirements for program administration, implementation, and future Grantee monitoring and evaluation

# Fund Leveraging Reminders

## Leveraging Funds

- To expand the reach of E&I funds and maximize the benefits of the E&I Program, DOE has a goal of at least a 2:1 ratio of non-DOE leveraged resources to E&I awarded funds.
- Recipients of E&I funds are also permitted to use WAP formula and Bipartisan Infrastructure Law (BIL) WAP funds.
  - » Example: E&I funds may be used to make a particular dwelling weatherization-ready, followed by the utilization of WAP funds to implement weatherization measures in the same dwelling.
- The annual report is where grantees should describe all leveraged funds, which may include:
  - » federal funds (non-DOE funds) and/or leveraged non-federal funding,
  - » financial contributions,
  - » volunteer labor,
  - » in-kind donations, and
  - » other resources provided by partner organizations

# Client Eligibility Reminders

## Ensuring Priority of Service

- E&I Grantees must ensure the WAP priority categories are included in the selection criteria of recipients.
- Consideration of “high residential energy users” and “households with a high energy burden” (as defined in 10 CFR 440.3) may be in combination with other priority categories of elderly, persons with disabilities, or families with children

## Income Eligibility

- Client eligibility must be verified according to the policies and procedures described in a currently approved WAP Grantee DOE Plan.
- Grantees should use Program income levels from the effective date of WPN 22-3 until updated in subsequent policy documents.

## Categorical Eligibility

- In addition to eligibility outlined in WPN 22-3, WAP includes provisions to allow categorical approval for applicants eligible for the LIHEAP and (HUD) means-tested programs.

## Client Release

- Since all households receiving E&I-funded measures should be referred to the local weatherization agency for full weatherization services, E&I Grantees must ensure a client release is signed prior to sharing any sensitive information.

# Implementation Reminders

## Reporting multi-unit dwellings

- 5+ units, report as a Multifamily unit.
- 5 units or less, report under one of the two Single-Family categories.

## Savings-to-Investment Ratio (SIR)

- E&I funds are not subject to SIR requirements.

## Average Cost Per Unit (ACPU)

- E&I funds are not required to follow ACPU requirements.
- If braiding E&I funds with DOE WAP funds the E&I measures can be excluded from the energy audit.

## Reweathering

- E&I funds will not be subject to the 15-year “reweatherization” requirement outlined in Section 1011(h) of the Energy Act of 2020.

## Health and Safety (H&S)

- E&I funds used for health and safety measures are not subject to the cost restrictions outlined in WAP annual formula-funded program (WPN 22-7).



# Inspection and Retrofitting Reminders

## Performing Final Inspections

- E&I Grantees are responsible for inspections on 100% of completed E&I work.
- E&I work does not require Home Energy Professional (HEP) Quality Control Inspector (QCI) certification.
- A unit is not considered completed until final inspection to ensure compliance and quality of installation.

## Weatherization Standards and Energy Audit Procedures

- E&I funded completions should also receive a whole-house energy efficiency retrofit aligned with DOE WAP rules & guidance.
- The retrofit may occur prior to, concurrent with, or as soon as possible after the E&I investment, depending on the project plan.

# DOE Monitoring Reminders

## Monitoring Requirements

- Per the FOA requirements, DOE must review project accomplishments and management control systems and, if needed, provide technical assistance.

## Desktop Monitoring

- DOE monitors QPRs and FFRs against the approved SOPO and Budget Justification.
- Within PAGE, DOE completes a quarterly checklist, accepts or rejects QPRs and FFRs, and reviews invoices if on ASAP Pre-Approval.
- Minor corrections/additions to QPRs and FFRs are typically handled via discussion between Project Officers and Grantees.
- Monitoring assessment reports may be issued to document specific concerns.

## Onsite Monitoring

- DOE will publish additional guidance in 2023 describing monitoring procedures and will share checklists with Grantees prior to site visits.

## Subrecipient Monitoring

- Grantees are responsible for quality assurance and oversight of subrecipients and contractors.
- Grantees must assure compliance with applicable laws and rules, quality workmanship, appropriate assignment of work, and tracking of financial resources.

# Q and A



Raise your hand

or



Type in the chat

# Questions?

**Reach out to your DOE Project Officer!**

**Thank you!**