



Department of Energy
Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 10-13A
EFFECTIVE DATE: SEPTEMBER 29, 2010

SUBJECT: ARRA REPORTING REQUIREMENTS: OMB QUARTERLY AND DOE MONTHLY REPORTING REQUIREMENTS UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 FOR THE WEATHERIZATION ASSISTANCE PROGRAM

REFERENCES:

(1) OMB Memorandum M-09-21 *Implementing Guidance for the Reports on the Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009*, June 22nd, 2009.

(2) OMB Memorandum M-10-08 *Updated Guidance on the American Recovery and Reinvestment Act – Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates*, December 18th, 2009.

1.0 PURPOSE: To provide guidance to Weatherization Assistance Program (WAP) Grantees on the Office of Management and Budget (OMB) quarterly reporting requirements and the Department of Energy (DOE) monthly reporting requirements related to funds expended under the American Recovery and Reinvestment Act of 2009 (ARRA). This guidance supersedes **WPN 10-13** and removes the requirement to report outlay of non-federal funds.

2.0 SCOPE: The provisions of this guidance apply to Grantees named in the Notification of Grant Award as the recipients of financial assistance under the DOE Weatherization Assistance Program for Low-Income Persons. The provisions of this guidance apply only to WAP funds provided through ARRA and do not apply to the nominal WAP reporting requirements outlined in the Program Year 2010 Weatherization Grant guidance (WPN 10-01).

This guidance does not address the annual reporting requirement necessary for verification of compliance with Historic Preservation requirements nor does it address the closeout reporting requirement. Guidance from DOE on these topics is forthcoming.

The monthly reporting requirements outlined by this guidance are authorized under a 36-month approval by OMB of an Information Collection Request (ICR) that expires on September 30, 2013. In most cases, monthly data will be used internally for managerial purposes only, but where DOE does intend to publicize monthly data, it will clearly indicate it to be "preliminary/informal and subject to change."

3.0 LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes the DOE to administer the WAP. All grant awards made under this Program shall comply with applicable laws including regulations contained in 10 CFR Part 440, the Energy Policy Act of 2005, the Energy Independence and Security Act of 2007, the American Recovery and Reinvestment Act of 2009 (ARRA) and other procedures applicable to the WAP.

4.0 BACKGROUND: The WAP funds provided by ARRA represent an unprecedented investment of Federal funds in weatherization activities. Concomitant with this investment, the Administration has pledged that transparency and accountability will be central aims throughout the grant process. Furthermore, the Administration must provide a means through which to effectively monitor and report the return on this investment in terms of jobs created and homes weatherized. Pursuant to these objectives, new reporting requirements have been put in place for all Federal Recovery Act programs. For WAP Grantees, these requirements are fulfilled through reporting via two distinct but similar processes:

1. Quarterly and monthly reporting of data to DOE
2. Quarterly reporting of data to OMB via FederalReporting.gov

In order to effectively track the pace of expenditure of ARRA funds, DOE is collecting a subset of required reporting data on a monthly basis. Monthly reporting for this subset of metrics was effective from February 2010 with the first report due March 30th, 2010 (reporting on all activity taking place in February 2010). The full list of metrics to be reported on a quarterly basis is listed in Attachment 1, while the subset of metrics required on a monthly basis is listed in Attachment 2.

DOE may also gather “real-time” data on implementation issues, challenges, and activities from Grantees as necessary. DOE is sensitive to the fact that these requests for information can be an interruption to the Grantees. DOE will exercise discretion in making these requests and will minimize their frequency so as to minimize the burden of effort placed upon Grantees. All such requests will be coordinated through the Project Officers assigned to each Grantee for the purpose of grant performance monitoring and coordination.

The monthly program reporting does NOT eliminate quarterly DOE program reporting requirements, as the monthly reporting is only a subset of the quarterly reports. The monthly reporting requirement is in addition to the quarterly DOE program reports and in addition to the OMB quarterly reporting requirements per Section 1512 of the Recovery Act that are submitted through www.FederalReporting.gov.

Please note: This guidance is ONLY applicable to ARRA grants. This reporting guidance is not applicable to WAP funds provided through annual appropriations.

5.0 GUIDANCE

The following sections outline how WAP Grantees will:

1. Report Section 1512 data to OMB quarterly
2. Report required data to DOE quarterly and monthly
3. Summarize the timing and process relationship between OMB and DOE reporting requirements

5.1 QUARTERLY REPORTING TO OMB VIA FEDERALREPORTING.GOV

The Office of Management and Budget requires the quarterly report of information in accordance with Section 1512 of the Recovery Act as outlined in Reference 1 & 2. The nominal reporting timeline (in days after the close of the reporting quarter), while always subject to change, is as follows:

- 10th: Prime recipients (and subrecipients with delegated reporting responsibility) are required to submit their initial reports to FederalReporting.gov
- 11th-21st: Prime recipients can correct significant reporting errors or omissions
- 22nd-29th: Prime recipients are locked out from their reports and can only make corrections if their agency reviewer comments on the report.
- 33rd-75th: Prime recipients can correct submitted reports during the continuous QA period

The DOE Recovery Act clearinghouse coordinates Section 1512 reporting for all DOE Recovery Act projects. Further information on the content and process of Section 1512 reporting is available here:

http://www.energy.gov/recovery/ARRA_Reporting_Requirements.htm

Please note: Submitting information to DOE does NOT fulfill the OMB Section 1512 reporting requirement. DOE cannot forward the information to OMB for the recipient.

5.2 QUARTERLY AND MONTHLY REPORTING TO DOE

5.2.1 Reporting Timeline

5.2.1a Quarterly Reporting

Attachment 1 lists all of the metrics that are required to be reported on a quarterly basis to DOE. The deadline for reporting these quarterly metrics will be on the 30th of the month following the close of the quarter for which data is being reported (e.g. April 30th, 2011 for data from January-March 2011).

DOE recognizes that as more accurate data becomes available, recipients may need to amend their quarterly reports after submission. Recipients will coordinate post-submission corrections of quarterly reports through their respective Project Officers.

5.2.1b Monthly Reporting

In addition to the quarterly reporting of metrics, a subset of key metrics will be reported on a monthly basis. These metrics, listed in Attachment 2, are required to be reported on a more frequent basis in order to track progress and

report success in key areas, to identify where additional assistance may be needed, and to maintain transparency and accountability regarding the use of Recovery Act funds. Monthly reports will be due on the 30th of the month following the month for which data is being reported.

As all of the monthly metrics overlap with a subset of the quarterly metrics, there will be several instances when both monthly and quarterly figures are required for the same metrics in the same month. To address this circumstance, PAGE will automatically sum each of the monthly reports to pre-populate the relevant fields in the Quarterly Program Report (QPR). In order to ensure that the QPR reflects the most accurate data, the monthly reports associated with the current reporting quarter will remain freely editable by the recipient until the QPR is submitted to DOE for review.

DOE recognizes that as more accurate data becomes available, recipients may need to amend their monthly reports after submission. Recipients will be able to freely edit monthly reports at any time during the reporting quarter in which the monthly reports are submitted. After the close of this quarter, recipients will coordinate post-submission corrections of monthly reports through their respective Project Officers.

In addition to these reports, DOE has collected projections on monthly outlays and units produced from Grantees. This information, gathered by respective Project Officers, will allow DOE to effectively track grant performance and ensure the ARRA investment is on track with planned activity. Grantees may edit these projections for future months on a quarterly basis through coordination with their respective Project Officers.

5.2.2 Reported Metrics

The two types of metrics below are broad descriptions of the categories in Attachment 1.

5.2.2a Jobs

To ensure the number of jobs is being reported consistently, WPN 10-14A provides detailed instruction on how to calculate and report job creation and retention. Grantees should use the methodology in WPN 10-14A to calculate job creation for quarterly reporting to DOE and quarterly reporting to OMB. Through adherence to this standard methodology, consistency between the jobs figures reported to both DOE and OMB can be maintained. Examples of the types of jobs to be covered by this methodology include (but are not necessarily limited to): Crew member, Crew chief, Record keeper, Auditor, Estimator, Monitor, Program Staff and Administrative Staff.

5.2.2b Standard Programmatic Metrics

This category of metrics allows DOE to monitor progress of work identified by Grantees. In accordance with Attachment 2, grantees will report

outlays and units weatherized and re-weatherized monthly aggregated at the level of the Grantee, while subgrantees will report only total units weatherized monthly. All other metrics will be required on a quarterly basis only.

Outlays (i.e., money spent, expended, and/or costed by the Grantee) should only account for the ARRA funds being expended within a budget category for the reporting period. These categories include: Grantee and subgrantee administration, Grantee and subgrantee training and technical assistance, program operations, health and safety, liability insurance, financial audits, and leveraging activities. In Attachment 1, “Total Outlays” is the sum of all Grantee & subgrantee outlays from ARRA funds while “Total Outlays (by Subgrantee)” is the sum of outlays broken out by subgrantee. Additional funding categories per Attachment 1 will still be required in the Program Quarterly Report but are not included in the monthly reporting requirements.

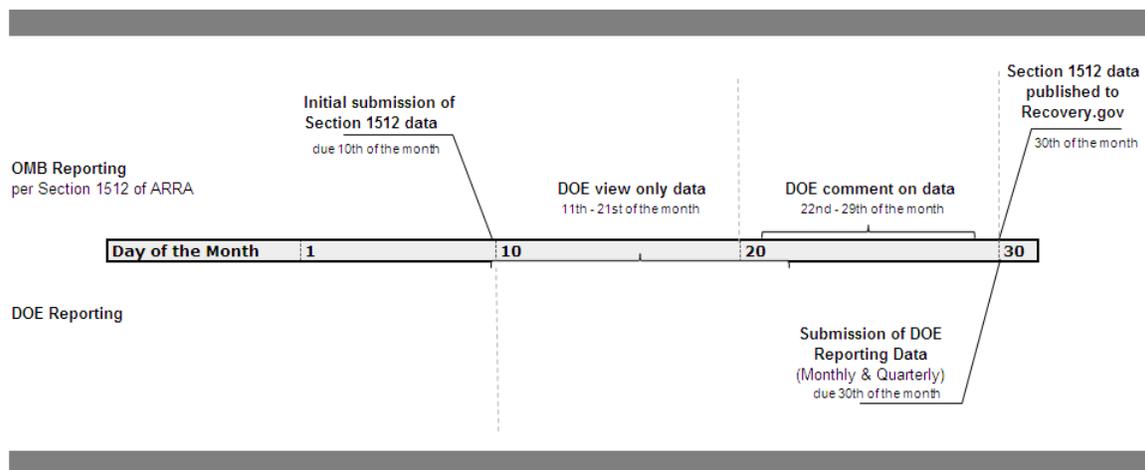
Per Attachment 2, DOE requires monthly reporting of the total number of weatherized units and re-weatherized units. The demographic information related to housing type and occupancy required by the quarterly reporting per Attachment 1 is not included in the monthly reporting requirements.

5.2.3 Reporting Tool

Performance and Accountability for Grants (PAGE) is the online system (www.page.energy.gov) that provides all WAP Grantees with the ability to electronically submit and manage grant performance and financial information. A host of training tools to familiarize users with PAGE are readily accessible from the front page of the site, including help screens, FAQs, and a number of training videos created to guide recipients through each of the necessary reporting steps.

5.3 TIMELINE AND PROCESS FOR REPORTING TO OMB AND DOE

The respective OMB¹ and DOE reporting timelines are illustrated below:



¹ The nominal OMB reporting timeline is shown. The actual OMB reporting timeline is subject to change and will vary quarter to quarter.

The OMB Section 1512 reporting requires the report of two fields, “*Total Federal Amount of ARRA Expenditure*” and “*Total Federal Amount ARRA Funds Received/Invoiced*”, that match financial information provided to DOE for financial reporting or performance reporting. Recipients should minimize any discrepancy between the reports of these metrics made to DOE and OMB. It is understood that as time passes from the close of the reporting period, grantees are able to obtain an increasingly accurate picture of grant performance during the reporting period.

If information regarding either of these fields is updated after 21st of the month, the recipient should contact their Project Officer to coordinate correction of the report submitted to FederalReporting.gov and ensure consistency with the information to be submitted to DOE. In cases where the recipients (e.g. State agencies) have relegated the ability to report via FederalReporting.gov to a higher authority (e.g. State Recovery Act office) and receives updated information on these two metrics, they should coordinate with the higher authority to make the necessary changes to the report in FederalReporting.gov.

The OMB reporting module in PAGE can be used as a ready tool to help ensure the consistency of information reported to OMB and DOE.

In any situation, Grantees should prioritize the accuracy of data submitted to DOE over the consistency of data being submitted to various sources.

CONCLUSION: DOE recognizes the complexity of this challenge and recognizes that there may be elements that will require further clarification. DOE will continue to provide additional updates through Project Officers and, as needed, through Program Notices in an effort to keep the Weatherization network well informed. We appreciate your cooperation and patience as we work through these developments.

It is a pleasure to work with you on this important Program. The availability of timely data regarding your success helps strengthen our on-going support. I look forward to working with you on making this Program a showcase for the Recovery Act and on our continued partnership to ensure that *Weatherization Works!* for all Americans.



LeAnn M. Oliver
 Program Manager
 Office of Weatherization and Intergovernmental Program
 Energy Efficiency and Renewable Energy

Attachment 1: WAP Quarterly Reporting Metrics (Recovery Act)

Attachment 2: WAP Monthly Reporting Metrics (Recovery Act)

WPN 10-13A Attachment 1: WAP Quarterly Reporting Metrics (Recovery Act)

Metric Activity	Metric
Hours worked	Total hours worked through Recovery Act funds
Total Outlays	Grantee Outlays (Recovery Act funds)
Total Units	Total Units (Excluding Reweatherized)
Total Units	Total Reweatherized Units
Total Outlays (by Subgrantee)	Sub Grantee Outlays (Recovery Act funds)
Total Units (by Subgrantee)	Total Units
Standard Programmatic Metrics	
Metric Activity	Metric
Units by Type	Number of Owner-Occupied Single Family Site Built
Units by Type	Number of Single-Family Rental Site Built
Units by Type	Number of Multi-Family (5 or more units per site) Homes
Units by Type	Number of Owner-Occupied Mobile Homes
Units by Type	Number of Renter-Occupied Mobile Homes
Units by Type	Number of Shelters
Other Unit Categories	Reweatherized total
Leveraged Units	Number of Leveraged Units completed
Units by Primary Heating Fuel	Natural Gas
Units by Primary Heating Fuel	Fuel Oil
Units by Primary Heating Fuel	Electricity
Units by Primary Heating Fuel	Propane/LPG
Units by Primary Heating Fuel	Kerosene
Units by Primary Heating Fuel	Wood
Units by Primary Heating Fuel	Other fuel
Units by Occupancy	Elderly-Occupied
Units by Occupancy	Disabled-Occupied
Units by Occupancy	Native American-Occupied
Units by Occupancy	Children-Occupied
Units by Occupancy	High Residential Energy User
Units by Occupancy	Household with High Energy Burden
Total People Assisted with Grant Funds	Elderly
Total People Assisted with Grant Funds	Persons with Disabilities
Total People Assisted with Grant Funds	Native American
Total People Assisted with Grant Funds	Children
Total Outlays	Total Outlays (Recovery Act funds) by function (Program Operations, Grantee Administration, Subgrantee Administration, Grantee T&TA, Subgrantee T&TA, Health and Safety, Vehicles & Equipment, etc.)

WPN 10-13A Attachment 2: WAP Monthly Reporting Metrics (Recovery Act)

Metric Activity	Metric
Total Outlays	Grantee Outlays (Recovery Act funds)
Total Units	Total Units (Excluding Reweatherized)
Total Units	Total Reweatherized Units
Total Units (by Subgrantee)	Total Units