



Department of Energy
Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 21-4
EFFECTIVE DATE: September 29, 2021

SUBJECT: CLOSEOUT PROCEDURES FOR GRANTS UNDER THE WEATHERIZATION ASSISTANCE PROGRAM

PURPOSE: To issue guidance to Grantees for closeout of grants funded under the Department of Energy's (DOE) Weatherization Assistance Program (WAP).

SCOPE: The provisions of this guidance apply to Grantees or other entities named in the Notification of Grant Award as the recipients of financial assistance under the WAP. This guidance applies to all WAP activity funded through formula WAP grants.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes DOE to administer the WAP. **All grant awards closed out under this Program shall comply with all applicable laws including, but not limited to, the WAP statutory authority (42 U.S.C 6861-6873); WAP regulations at [10 CFR 440](#) and [2 CFR 200](#), as amended by [2 CFR 910](#).**

BACKGROUND: Closeout is the process by which DOE determines that all applicable administrative actions and all required work under the award have been completed. The process includes verifying that the following have been accomplished at the expiration of the acquisition or assistance instrument:

1. All terms and conditions have been fulfilled;
2. All property issues such as inventory, equipment and vehicles have been resolved;
3. All patents and data issues, including intellectual property issues, have been resolved;
4. All required reports and other deliverables have been submitted to DOE; and
5. All required financial data and related information, including reconciliation of and/or resolution of, have occurred.

When all conditions have been met and the final cost has been determined, final payment can be made to the recipient and the award instrument may be closed out. Closeout of awards should occur within a reasonable period of time after the completion date of the award or date of termination. In the event a final audit has not been performed prior to the closeout of the grant, DOE reserves the right to recover appropriate amounts after fully considering the recommendations on disallowed costs resulting from the final audit.

Closeout requirements applicable to financial assistance recipients are contained in [2 CFR 200](#). Within 120 days after the expiration or termination of a financial assistance award, the recipient must submit all financial, performance and other reports required by the award terms and conditions.

As a reminder, the [Performance and Accountability for Grants in Energy \(PAGE\)](#) is the official grants management and reporting system for the Weatherization and Intergovernmental Program Office (WIP). PAGE provides DOE and Grantees with the ability to electronically submit and manage grant performance and financial information online. It also serves as the repository for final fiscal and programmatic reports used for closeout.

When closing out a grant, Grantees must address a variety of management and administrative areas with their Subgrantees. Closeout procedure exists for each of these areas at either the Federal or Grantee level, or both. The DOE Grant Specialist and DOE Project Officer will assist each Grantee agency with all applicable closeout procedures.

Compliance with these procedures is mandatory. Closeout reports and topics below include, but are not limited to, the following as applicable to each grant award:

- [PAGE Reports](#)
 - Final Quarterly Performance Report (DOE 540.3 Form)
 - Final Federal Financial Report (SF-425)
 - Note: *If final costs do not match cumulative payments, then a corresponding draw needs to be made through ASAP.*
 - [Historic Preservation Report](#)
 - [Annual Training & Technical Assistance, Monitoring and Leveraging Report](#)
- Property Certification (SF-428) forms:
 - Please have an individual with sufficient grant authority submit by email to the Project Officer **SF-428 Property Certification**. The form consists of the cover sheet (SF-428) and three attachments to be used as required:
 - Annual Report, SF428-A
 - Final (Award Closeout) Report, SF-428-B
 - Disposition Request/Report, SF-428-C.
 - A Supplemental Sheet, SF-428S, may be used to provide detailed individual item information. SF428-S, (Supplemental to provide

inventory of vehicles and/or equipment values over \$5,000) to your identified Project Officer.

- Award Documentation
Please ensure that the latest award modification has been accepted in [Fedconnect](#).
- Closeout Guidance and Forms:
 - [WPN 17-6: Property Acquired Under the Weatherization Assistance Program \(WAP\) Including Vehicle and Equipment Purchases](#)

GUIDANCE: DOE has established a “performance period end date” for WAP grant awards consistent with the project period end date of the grant award. The project period end date is specified in the award documents of each grant award.

Grantees must instruct their Subgrantees to close out their respective subgrants according to standard Grantee terms and conditions and their own state requirements prior to beginning the process of closing their WAP grants with DOE. It is essential that all Subgrantee activities be accurate and completely reported so that Grantee closeout reports reflect the full extent of activities and expenditures.

Grantees must adhere to the appropriate sections of OMB’s [2 CFR Part 200](#) when addressing closeout issues. DOE strongly recommends that Grantees begin the process of closing out Subgrantees as soon as funds are expended and activities are completed to expedite the closeout process. For additional information, please refer to [2 CFR 200](#) Financial Assistance Regulations.

Note: All funds in any WAP grant that remain unexpended after all closeout activities for the grant are completed will be de-obligated by the DOE Contracting Officer for the grant.

Specific Policy Areas:

1.0 GENERAL WEATHERIZATION ACTIVITIES

Grantees are advised that any weatherization work must be completed and inspected, and all necessary monitoring and follow-up activities must be completed, by the performance period end date of the grant. If costs are incurred after the performance period, these costs must be covered by another funding source. The only exception is minimal administrative costs that may be incurred within 120 days after the performance period end date for closeout and final reporting.

1.1 MONITORING: Grantees must complete all monitoring activities as stipulated in their approved State Plan. In order to utilize WAP funds for this purpose, all monitoring activities must be completed by the grant end date. If Grantees are unable to meet the monitoring expectations identified in their plan after said date, then these activities must be paid for with new appropriated funds in a new grant.

1.2 CALL-BACKS: [WPN 11-3, Policy Regarding the Use of DOE Program Funds to Pay for Call-Back/Add-On Work after Reported to DOE as a Completed Unit](#), provides the method to address this issue.

Warranty work associated with the installation of materials or measures, such as heating, ventilation, and air conditioning (HVAC) work done under contract, must be provided by the contractor who performed the installation. It is important that this requirement be communicated in writing to all contractors performing work in the closing months of the award.

In the case of direct hire crew work, both the work and the final inspection must be performed in ample time for the crew to return and provide any corrective actions prior to the dwelling unit being reported to DOE as a completion. Please review [WPN 11-3](#) if you have further questions.

1.3 MULTIFAMILY WEATHERIZATION: Grantees and Subgrantees are reminded that multifamily weatherization projects generally require significant lead time before the actual weatherization work begins and often take longer than most other types of units to complete.

DOE recommends that large multifamily buildings have appropriate project procurement lead time. Multifamily projects should be completed and inspected by the performance end date. If any multifamily project is incomplete at the end date of the performance period, only those costs incurred prior to the performance period end date may be charged to the current WAP grant. Please review the current program notice, [WPN 16-5: Multifamily Weatherization](#), for more information.

2.0 WEATHERIZATION INVENTORY OF VEHICLES, EQUIPMENT, AND MATERIALS

Grantees and Subgrantees must follow the terms and conditions of the award, state procurement requirements, the appropriate section(s) of [2 CFR Part 200](#), and the DOE Financial Regulations regarding the disposition of vehicles, equipment, and materials in order to properly closeout the grants.

2.1 EQUIPMENT: As a general rule, DOE will not approve the purchase of any equipment with a purchase price of greater than \$5,000 at the very end of the period of performance. Grantees and Subgrantees will be required to use existing equipment to meet the production needs at the end of the performance period. Any request to purchase equipment as a result of extenuating circumstances will be addressed on a case-by-case basis by the Project Officer.

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. See also the definitions of *capital assets*, *computing devices*, *general purpose equipment*, *information technology systems*, *special purpose equipment*, and *supplies* in this section.

Also see [2 CFR 200.439](#).

2.3 SUPPLIES: Grantees and Subgrantees should not purchase inventory or materials in bulk for homes that cannot be completed prior to the performance period end date. Supply balances should follow state and federal disposition requirements per [2 CFR 200.313](#), [2 CFR 200.453](#), and [WPN 17-6](#).

3.0 Returning Interest Earned

Regulations applicable to individual WAP awards set forth the requirements for handling Federal payments, including instructions for remitting interest earned on Federal funds per [2 CFR 200.305](#) ‘Federal Payment’ and [2 CFR 910.354](#) ‘Payment (For-Profits)’.

Grantees/Subgrantees may use any of the options discussed below to remit the interest earned to DOE. Grantees that utilize the Automated Standard Application for Payments (ASAP) System as their payment method (per the terms and conditions of the award) **may not do a reverse ASAP draw** to return any interest earned. Please include the grant number and Grantee name on all submissions or correspondence. As it relates to the online processing, a Grantee/Subgrantee can identify the grant number and Grantee name in the comments field of the form. The Grantee/Subgrantee will need their grant number, Grantee name, and banking information available to complete either the online form or refund the interest by mailing a check.

3.1 Payment Instructions for Checks, Money Orders, or Credit Cards

Below are instructions for two methods of payment. Grantees may choose the most convenient method and include the grant number and Grantee name on all forms or

payments to the Department of Energy. Additional information on “Returning Funds to the Department of Energy” dated June 6, 2018, are available as an attachment (EERE G 413.353).

You may submit your check electronically (via ACH Debit) or use a credit card at the following website:

<https://www.pay.gov/paygov/forms/formInstance.html?agencyFormId=18573422> .

Option 1: Electronic Check payment: please complete the first screen, including the type of payment and the bill number, and then click on the Submit Data button. A second screen will appear for your on-line electronic payment. The first Option on the screen is for submitting your check electronically. Fill in the required fields (identified by asterisk) with your check information and select ‘Continue with ACH Payment.’ The third screen displays the payment summary and allows you to edit your information. This screen will send a confirmation receipt to your email address, as well as any cc: email addresses. Please include AR@hq.doe.gov in the cc: email address block to ensure the Department of Energy accounts-receivable team is aware that your payment is in the system. Review your payment information and select ‘Submit Payment.’ From the confirmation page, please print a copy of the electronic receipt for your records. You will receive an email notification of the transaction automatically please mark your check PAID ELECTRONICALLY.

Option 2: Credit Card payment: please complete the first screen, including the type of payment and the bill number, and then click the Submit Data button. A second screen will appear for your on-line payment. Scroll down to the second Option on the screen to submit your credit-card payment electronically. Fill in the required fields (identified by asterisks) with the credit-card information and select ‘Continue with Plastic Card Payment.’ The third screen displays the payment summary and allows you to edit your information. This screen also sends an email confirmation receipt, sent to your email address, as well as any cc: email addresses. Please include AR@hq.doe.gov in the cc: email address block to ensure the Department of Energy accounts-receivable team is aware that your payment is in the system. Review your payment information and select ‘Submit Payment.’ From the confirmation page, please print a copy of the electronic receipt for your records. You will also receive an email notification of the transaction automatically.

For award entities for which the Cash Management Improvement Act (CMIA) and its implementing regulations do not apply, interest earned on Federal advances deposited in interest bearing accounts must be remitted annually to the HHS Payment Management System through an electronic medium such as the FEDWIRE Deposit system or with a check. See [2 CFR 200.305](https://www.ecfr.gov/current/title-2/chapter-I/subchapter-B/part-200/subpart-3/part-200.305) for additional instructions and addresses.

CONCLUSION: The Weatherization network has achieved a high level of performance in delivering on the goals of the Program. The network can be proud of these achievements. Now begins the orderly process of closing out WAP grants. DOE strongly encourages Grantees to review the relevant citations and guidance.

If you need additional information, please contact the appropriate Contracting Officer, Grant Specialist, or DOE Project Officer.

A handwritten signature in black ink, reading "Anna Maria Garcia". The signature is written in a cursive, flowing style.

Anna Maria Garcia
Director
Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy

Attachments: SF428 Suite

EERE G 413.353 "Returning Funds to the Department of Energy"