

**U.S. Department of Energy**  
**Supporting Statement**  
**Weatherization Assistance Program (WAP)**  
**OMB Control Number: 1910-5127**

**1. Explain the circumstances that make the collection of information necessary.**

The Department of Energy (DOE) requires collection of information for the Weatherization Assistance Program (WAP) as included in Funding Opportunity Announcement DE-FOA-0000051, the Energy Independence and Security Act of 2007 (EISA) and the OMB requirements for (1) grant and financial administration, and (2) American Recovery and Reinvestment Act (ARRA) funds. DOE provides Federal financial assistance and technical support to states and local governments under the EISA. Information gathered provides current information required to respond to OMB, congressional and consumer requests and budget preparation.

The WAP Program has \$5 billion under ARRA to be spent by March 2012 compared to \$200 million historically annually. In order to adequately monitor, report, and ensure transparency and accountability, WAP required monthly and quarterly reporting given the new huge increase in funding for this program.

For Program Year (PY) 2013, \$131.7 million has been allocated to the 58 award recipients. The average annual funding expected for program year 2014 and 2015 is \$200 million annually. Thus, WAP is prepared to return to quarterly reporting.

**2. Indicate how, by whom, and for what purpose the information is to be used.**

All Weatherization Assistance Program information is used by DOE to determine program production and answer congressional, budget and public inquiries. Program staff utilize the information collected to track the recipients' activities, their progress in achieving scheduled milestones, and funds expended (including expenditure rates). It is also used to determine program compliance and set program goals and objectives as required in 10 CFR 440.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.**

The Department of Energy, WAP developed the Performance and Accountability for Grants in Energy (PAGE) online tool. This web-based system allows DOE to administer the WAP grants on-line and provides all network users access to current program records. PAGE reduces data redundancy and paperwork and provides a single access point for providing all requested reporting data. States with PAGE access enter state applications and reports directly into the system and sign and submit them electronically to the DOE Project Management Center

(PMC). All records entered or updated are forwarded to a national database at DOE Headquarters. The forms submitted with the prior ICR request, 540.2, 540.3, 540.4 are fully integrated into the PAGE system to prevent redundancy. Grantees no longer complete any paper forms.

**4. Describe efforts to identify duplication.**

The WAP program is the only Federal program that provides weatherization services to low income Americans. The forms in PAGE were designed to provide a consistent format for the collection of program information. This information will then be retrieved in a to answer programmatic questions and inquiries. The information collected is unique to the DOE therefore this collection is not duplicative.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

Small Businesses are not impacted.

**6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Quarterly and Annual reporting allows DOE to adequately monitor, report, and ensure transparency and accountability.

The requirement of submitting a Plan once a year by a state is contained in 10 CFR 440. If this information is not provided by the states to DOE there will be no source of information to respond to congressional, budget and general public inquiries of the program.

DOE requires reporting of the activities for the Weatherization Assistance Program quarterly for the Program Report and annually for the Monitoring, Technical Assistance and Leveraging reports.

The WAP requires quarterly reporting to effectively monitor performance of the grant. Annual reporting would not allow Project Officers to effectively determine if the grants funds are being used in a timely, appropriate manner, and would prevent WAP leadership from effectively updating budgetary performance and future budgetary requirements to Congress and OMB. The quarterly report form has been simplified and reduced to capture specific WAP information according to 10 CFR 440, and to minimize the burden to award recipients.

The Monitoring, Leveraging and Technical Assistance reports have been consolidated into one report and the reports will be submitted by the states on an annual basis.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.**

The information collection is not being conducted in a manner inconsistent with OMB guidelines.

**8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5CFR 320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE.**

The Department published a 60-day Federal Register Notice and Request for Comments concerning this collection in the Federal Register on July 29, 2013, at 78 FR 45518. The notice described the collection and invited interested parties to submit comments or recommendations regarding the collection. Since that publication, changes associated with the burden hours have occurred. These changes are reflected in the 30 day FRN. No comments were received on the 60 day notice.

**9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

No payment or gift is being provided to the respondents.

**10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

There is no identifiable confidential information being requested. The information collected is collected at the state level, and individual identifiable information is not requested.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

There is no collection in this package that involves questions of a sensitive, personal or private nature.

**12. Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.**

The hours of burden for the quarterly report are estimated to be 4 hours(2 hours to organize information and seek clarification if needed from guidance, and 2 hours to

complete forms). The hours of burden for the annual reports is 4 hours. The number of respondents is 58 States, territories and tribes.

The grantees burden is calculated as follows:

State burden hours:

Quarterly report(DOE Form 540.3): 4 hours x 58 grantees x 4 quarters = 928 hours

Annual Report: (State Plan(DOE Form 540.2), Combined Monitoring, Technical Assistance and Leveraging Report(DOE Form 540.4)): 4 hours x 58 grantees= 232 hours

Total number of unduplicated respondents: 58

Reports filed per person: 5

Total Annual responses: 290

Total annual burden hours: 1160

The average burden estimated by hours per collection and applicant are below:

Per Collection: 4

Per Applicant: 20

**13. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.**

The cost burden is as follows:

State burden costs = 1160 hours x \$40/hr. = \$46,400.00

DOE believes there are no additional costs to respondents other than the burden hours reported.

**14. Provide estimates of annualized cost to the Federal government.**

By incorporating the latest computer software technology available, DOE will be able to significantly reduce the time spent on applying and reporting cost of the grant process at the State and PMC Offices long with the Financial offices the provide oversight for the grants. At the project management center level, it is estimated that it takes each project officer approximately one hour to review each state report.

Program Participant	# of Hours to complete forms	Fringe Benefit and Cost Per Hour	Total Cost
PMC Office	290 Hours to	\$ 50.00	\$14,500.00

	Review		
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**15. Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.**

There was a decrease in reporting frequency (monthly to quarterly) due to expending ARRA funding and returning to the standard burden and allocation. In the 2010 request, the WAP Program had \$5 billion under ARRA to be spent by March 2012 compared to \$200 M historically annually. In order to adequately monitor, report, and ensure transparency and accountability, we required monthly and quarterly reporting given the increase in funding for this program. A total of \$131.7 million has been allocated to WAP for Program Year (PY) 2013, similar to traditional funding levels. As such, WAP is able to reduce the burden to quarterly and annual reporting. In addition, WAP was able to simplify the quarterly and annual reports to closely align with 10 CFR 440, and to minimize the burden to award recipients. Finally, WAP was able to create one simplified report, the Combined Monitoring, Technical Assistance and Leveraging Report incorporating several reports into one and reducing any potential redundancy in reporting.

**16. For collections whose results will be published, outline the plans for tabulation and publication.**

There are no plans for publication.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

The Department is not seeking approval to not display the expiration date for OMB approval of the information collections contained in this package.

**18. Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.**

There are no exceptions to the certification statement identified in item 19. "Certification for Paperwork Reduction Act submissions" of OMB form 83-I.