
Supporting Statement for Weatherization
Assistance Program Sub-Programs:
WAP Enhancement and Innovation
(E&I), Sustainable Energy Resources for
Consumers (SERC), and Community
Scale Pilot Project (CSPP) Grants

Part A: Justification

DOE Forms 540.2, 540.4, 540.5, 540.6, 540.7, 540.8, 540.9, 540.11, 540.12

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Introduction

Provide a brief introduction of the Information Collection Request. Include the purpose of this collection, note the publication of the 60-Day Federal Register Notice, and provide the list of forms within this collection.

Enhancement and Innovation (E&I) –

The Weatherization Assistance Program (WAP) Enhancement & Innovation provides grants to state, local, tribal, and non-profit organizations to improve home energy efficiency, health, and safety for low-income residents. This grant focuses on expanding the impact of residential weatherization programs by addressing structural deficiencies in homes, ensuring healthy indoor air quality, and empowering local community representation within the energy workforce. In FY 2021, \$18.6 million will be available and it is anticipated that this will be available each year through 2025, depending on appropriated funding levels.

- E&I Form – Quarterly Performance Report (QPR) (DOE Form 540.9)
- E&I Form – Annual Report (DOE Form 540.7)
- E&I Form – Grant File Worksheet (DOE Form 540.8)
- Subgrantee Information Worksheet: (DOE Form 540.5)
- Historic Preservation Annual Report (DOE Form 540.6)

Sustainable Energy Resources for Consumers (SERC) –

Under this effort, the Weatherization Assistance Program (WAP) will implement the Sustainable Energy Resources for Consumers (SERC) Grants, authorized from the Energy Independence and Security Act of 2007 (EISA) Public Law 110-140, Section 411(b). This provision authorizes local weatherization agencies to expand the Program for “materials, benefits, and renewable and domestic energy technologies not currently covered.” Within Title 42 of the US Code, section 6872 (Authorization of appropriations & SERC), Weatherization Program Notice 21-2 notes a total of \$12.3 million has been set aside for SERC from the 2020 and 2021 appropriations.

- Quarterly Program Report (DOE Form 540.11)
- Annual File Worksheet: (DOE Form 540.2)
- Combined Monitoring, Technical Assistance and Leveraging Report: (DOE Form 540.4)

Community Scale Pilot Project (CSPP) –

On December 27, 2020, P.L. 116-260 was enacted, which provided fiscal year (FY) 2021 appropriations to the Department of Energy’s (DOE) Weatherization Assistance Program (WAP) through September 30, 2021. In addition to the \$310 million appropriation, \$5 million was allocated for DOE Headquarters Training & Technical Assistance (T&TA). Included in the T&TA provision was \$1.5 million set-aside to conduct a pilot on community-scale projects within the WAP.

A pilot program focused on community scale projects would provide funding to Grantees in collaboration with local weatherization agencies (Subgrantees) who demonstrate the ability to pilot

complex programs, dealing with multiple tenants and/or building owners within a specific geographic area, housing type(s), and/or specific demographics. Community Scale projects can range from a cluster of single-family houses, 2 (or more) small multifamily buildings, or a large multifamily building. To be a recipient, the state weatherization agency (Grantee) must certify that the Subgrantee has the capacity to carry out the proposed activities, and that the Grantee will include this project in addition to the oversight of their traditional WAP.

Further, to align with Executive Order 14008, which establishes the Justice40 Initiative with the goal of delivering 40% of the overall benefits of climate investments to disadvantaged communities, project plans much include an explanation on:

- The quality and manner in which the measures incorporate diversity, equity and inclusion goals in the project; and
- The extent to which the project benefits underserved communities.
 - Quarterly Program Report (DOE Form 540.12)
 - Annual File Worksheet: (DOE Form 540.2)
 - Combined Monitoring, Technical Assistance and Leveraging Report: (DOE Form 540.4)

A 60-Day Federal Register Notice was published in the Federal Register on November 22, 2021– 86 FR 66292 (Doc. # 2021-25429).

A.1. Legal Justification

Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the information collection.

The Department of Energy (DOE) requires collection of information for the Weatherization Assistance Program (WAP) as included in Funding Opportunity Announcement DE-FOA-0002520, the Energy Independence and Security Act of 2007 (EISA), Statute 42 USC 6864d, Statute 42 USC 6872, H.R. 133, Estimate for Division N—Additional Coronavirus Response and Relief Consolidated Appropriations Act, 2021 Public Law 116-260, and the OMB requirements for grant and financial administration.

DOE provides Federal financial assistance and technical support to States, territories, Indian tribes, and local governments under the EISA. Information gathered provides the current status of grants required to respond to OMB, congressional and consumer requests, and budget preparation.

The WAP will allocate annually around \$32.4 million for these programs. \$18.6 million to Weatherization Enhancement and Innovation (E&I) grants, \$12.3 million to Sustainable Energy Resources for Consumers (SERC) grants, and \$1.5 million to the Community Scale Weatherization Pilot. In order to adequately monitor, report, and ensure transparency and accountability, WAP requires quarterly reporting for these programs.

Enhancement and Innovation (E&I) –

P.L. 116-260 of December 27, 2020, Consolidated Appropriations Act of 2021, directs the Department of Energy (DOE) Weatherization Assistance Program to award financial assistance on an annual basis, through a competitive process, for Weatherization Enhancement and Innovation (E&I). Purposes of the E&I awards include expanding the number of dwelling units made weatherization-ready, promoting the deployment of renewable energy, ensuring healthy indoor environments, disseminating new methods and best practices, and hiring and retaining individuals from underserved communities. The collection will allow DOE to meet the OMB requirement for grant reporting and financial administration, and support monitoring and evaluation of this program by including metrics on work completed in eligible low-income residences and the number of individuals hired and trained using E&I grant funds.

DOE is collecting similar household and energy information from Weatherization Assistance Program Grantees in collection OMB 1910- . The E&I grants will be awarded separately from the formula assistance awards and be available to nonprofit entities in addition to current WAP Grantees and Subgrantees, so this collection form is needed for organizations new to the DOE PAGE reporting system. WAP Grantees also receiving E&I awards will be instructed to not duplicate reporting, where applicable. The E&I program includes new initiatives that require additional metrics related to home repairs, addressing health and safety hazards, and workforce development. In addition, the collection includes new metrics that allow for the measurement of benefits in underserved communities, in alignment with the Justice40 initiative (Executive Order 14008, OMB M21-28).

Sustainable Energy Resources for Consumers (SERC) Grants -

[42 USC 6872](#): Authorization of appropriations & SERC - [Weatherization Program Notice 21-2](#) notes a total of \$12.3 million has been set aside for SERC from the 2020 and 2021 appropriations.

[Pub. L. 110-140, title IV, §411\(b\), Dec. 19, 2007, 121 Stat. 1600](#) , provided that:

"(1) In general.-The Secretary [of Energy] may make funding available to local weatherization agencies from amounts authorized under the amendment made by subsection (a) [amending this section] to expand the weatherization assistance program for residential buildings to include materials, benefits, and renewable and domestic energy technologies not covered by the program (as of the date of enactment of this Act [Dec. 19, 2007]), if the State weatherization grantee certifies that the applicant has the capacity to carry out the proposed activities and that the grantee will include the project in the financial oversight of the grantee of the weatherization assistance program.

"(2) Priority.-In selecting grant recipients under this subsection, the Secretary shall give priority to-

"(A) the expected effectiveness and benefits of the proposed project to low- and moderate-income energy consumers;

"(B) the potential for replication of successful results;

"(C) the impact on the health and safety and energy costs of consumers served; and

"(D) the extent of partnerships with other public and private entities that contribute to the resources and implementation of the program, including financial partnerships.

"(3) Funding.-

"(A) In general.-Except as provided in paragraph (2), the amount of funds used for projects described in paragraph (1) may equal up to 2 percent of the amount of funds made available for any fiscal year under section 422 of the Energy Conservation and Production Act (42 U.S.C. 6872).

"(B) Exception.-No funds may be used for sustainable energy resources for consumers grants for a fiscal year under this subsection if the amount of funds made available for the fiscal year to carry out the Weatherization Assistance Program for Low-Income Persons established under part A of title IV of the Energy Conservation and Production Act (42 U.S.C. 6861 et seq.) is less than \$275,000,000.

Community-scale Weatherization Pilot-

FY21 Appropriations: - \$1.5 million will be available per [Weatherization Memorandum 077](#)

From P.L. 116-260 section appropriating funds to WAP for Pilot Community Scale Projects:

The recommendation provides \$1,500,000 within funds for technical assistance to create a pilot that supports community and neighborhood scale weatherization, including the feasibility of integrating renewable and alternative energy infrastructure. These funds shall be made available to grantees that present targeted and innovative use of these funds to model methods for weatherization integration with various other programs including but not limited to the HOME Investment Partnership Program, Low Income Home Energy Assistance Program, and programs at the U.S. Department of Veterans Affairs. The Department shall regularly brief the Committee on progress to implement this pilot project, beginning not later than 90 days after enactment of this Act. (House pg. 109-110; Conference pg. 114).

Memorandums:

On January 21, 2021, DOE published Weatherization Program Notice 21-2 for Program Year 2021 Grantee Allocations that states "At this appropriation level, the Energy Independence and Security Act of 2007 (EISA) authorizes the Secretary of Energy to make funding available for Sustainable Energy Resources for Consumers (SERC) Grants. DOE will reduce the amount being distributed to the Grantees by \$6,200,000 for Fiscal Year (FY) 2021. This is in addition to the \$6,100,000 set aside in FY 2020. DOE will send out instructions on SERC funding opportunity under a separate memo. Once the Secretary determines how much, if any, will be distributed under SERC, any remaining funds not used for SERC will be distributed through formula."

On June 1, 2021, DOE published WAP Memorandum 077 for a "Pilot Project Opportunity: Community Scale Projects in the Weatherization Assistance Program" (DOE Form 1325.8)

On December 15, 2021, DOE published WAP Memorandum 084 for a "WAP Sustainable Energy Resources for Consumers (SERC) Grant Application" (DOE Form 1325.8)

A.2. Needs and Uses of Data

Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection

All information collection proposed under these programs is necessary for their implementation, and thus necessary for the function of the agency. The information collected will be used by program staff to

track the recipients' E&I, SERC, and CSPP activities, their progress in achieving scheduled milestones, and funds expended (including expenditure rates). The information also enables program staff to provide required or requested information on program activities to OMB, Congress, and the public.

Proposed collection instruments are attached to this supporting statement and will be incorporated in the Performance and Accountability for Grants in Energy (PAGE) system. PAGE is a tool developed by the DOE Energy Efficiency and Renewable Energy Office of Weatherization and Intergovernmental Programs. The secured website provides DOE and grantees, including state and local governments, nonprofits organizations, and tribal organizations, with the ability to electronically submit and manage grant performance and financial information. DOE project and contract officers will utilize the information provide by grantees for regular monitoring activities to ensure federal funds are used efficiently, effectively and in compliance with federal rules and guidance.

The proposed data collection instruments have three purposes: 1) provide information to Congress and other stakeholders to ensure federal funds are being used efficiently and demonstrate the program is meeting statutory intent; 2) collect data for analysis of program outcomes and to inform future innovations in the Weatherization Assistance Program; 3) align metrics with the Justice40 Initiative and enable measurement of benefits delivered to disadvantaged communities, per OMB Memorandum 21-28.

E&I: Although E&I is a new program, it will utilize many of the same reporting forms and metrics as the formula-grant weatherization program. This is important for consistency in evaluation of outcomes across all DOE-funded grants serving low-income households, and because E&I Grantees are expected to coordinate services with WAP Subgrantees to ensure each home receiving E&I-funded improvements also receives a cost-effective energy retrofit. Forms in the proposed E&I collection are detailed below.

- **Grant File:** Completed by the E&I Grantee, this form is used to enter key information about the award in PAGE which will determine performance measures and reporting requirements (e.g., the planned activities, contractors working with the Grantee, production and workforce goals). This form is completed one time at the beginning of the 3-year performance period and must be approved by the DOE Project Officer prior to the release of funds.
- **Quarterly Performance Report (QPR):** Completed by the E&I Grantee quarterly, this form is the primary vehicle used to collect data on grant expenditures and performance metrics. The outlay and grant production sections mirror the metrics in the WAP formula award QPR, which will enable evaluation and comparison of program outcomes. Section III. E&I Metrics is a new collection designed to regularly evaluate whether the grant activities are on pace to meet performance goals. Grantees will be required to provide data only for the metrics applicable to their award topic area and activities. The following metrics have been added in response to the Justice40 Initiative: Outlays in Underserved Communities; Units by Level of Household Income; Clean Energy – Total Installed Capacity in Underserved Communities; Energy Burden. The DOE Project Officer must review and approve the QPR as part of regular quality assurance monitoring.
- **Annual Report:** Completed by the Grantee within 90 days of the end of each year during the period of performance, or three reports for each E&I award. This is a narrative report that is

intended to provide more detailed updates on grant performance and progress toward project objectives and milestones, and program priorities such as leveraging, monitoring and evaluation activities, Diversity, Equity and Inclusion and the Justice40 Initiative. The DOE Project Officer must review and approve this report each year. In addition, the DOE Program Manager will utilize the information collected in this report to share lessons learned with the Weatherization Assistance Program network, identify needed training and technical assistance for E&I Grantees, and modify future funding opportunity announcements.

SERC:

- **Quarterly Program Report:** Completed by the SERC Grantee quarterly, this form is the primary vehicle used to collect data on grant expenditures and performance metrics. The outlay and grant production sections mirror the metrics in the WAP formula award QPR, which will enable evaluation and comparison of program outcomes. Grantees will be required to provide data only for the metrics applicable to their award topic area and activities. The following metrics have been added in response to the Justice40 Initiative: Outlays in Underserved Communities; Units by Level of Household Income; Clean Energy – Total Installed Capacity in Underserved Communities; Energy Burden. The DOE Project Officer must review and approve the QPR as part of regular quality assurance monitoring.
- **Annual File Worksheet:** Completed by the SERC Grantee annually, this form allows the Grantee to outline which sub-grantees are receiving SERC funds, how much funding they will be receiving, and the units that will be completed by the sub-grantee with the funding received. This form also allows for the tracking of other general details around Grantees' activities, training, and collection methods. This allows DOE to compare and evaluate program outcomes using the granular annual data presented by Grantees.
 - **Combined Monitoring, Technical Assistance and Leveraging Report:** This report is intended to provide more detailed updates on grant performance and progress toward project objectives and milestones, and program priorities of T&TA, leveraging, monitoring and evaluation activities. The DOE Project Officer must review and approve this report each year. In addition, the DOE Program Manager will utilize the information collected in this report to share lessons learned with the Weatherization Assistance Program network, identify needed training and technical assistance for SERC Grantees, and modify future funding opportunity announcements.

CSPP:

- **Quarterly Program Report:** Completed by the CSPP Grantee quarterly, this form is the primary vehicle used to collect data on grant expenditures and performance metrics. The outlay and grant production sections mirror the metrics in the WAP formula award QPR, which will enable evaluation and comparison of program outcomes. Grantees will be required to provide data only for the metrics applicable to their award topic area and activities. The following metrics have been added in response to the Justice40 Initiative: Outlays in Underserved Communities; Units by Level of Household Income; Clean Energy – Energy Burden. The DOE Project Officer must review and approve the QPR as part of regular quality assurance monitoring.

- **Annual File Worksheet:** Completed by the CSPP Grantee annually, this form allows the Grantee to outline which sub-grantees are receiving CSPP funds, how much funding they will be receiving, and the units that will be completed by the sub-grantee with the funding received. This form also allows for the tracking of other general details around Grantees' activities, training, and collection methods. This allows DOE to compare and evaluate program outcomes using the granular annual data presented by Grantees.
 - **Combined Monitoring, Technical Assistance and Leveraging Report:** This report is intended to provide more detailed updates on grant performance and progress toward project objectives and milestones, and program priorities of T&TA, leveraging, monitoring and evaluation activities. The DOE Project Officer must review and approve this report each year. In addition, the DOE Program Manager will utilize the information collected in this report to share lessons learned with the Weatherization Assistance Program network, identify needed training and technical assistance for CSPP Grantees, and modify future funding opportunity announcements.

A.3. Use of Technology

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, e.g., permitting electronic submission of responses.

The collection of the information for E&I, SERC, and the CSPP Projects Pilot has been standardized to provide database collection and retrieval of program information through the Performance and Accountability for Grants in Energy (PAGE) system. PAGE interfaces with DOE financial systems, the Energy Efficiency and Renewable Energy (EERE) Project Management Center, DOE Headquarters, and grantees. Electronic submission of reports will result in greater efficiency, timely reporting and a reduced paperwork burden for grantees and DOE program staff. 100 percent of information collection will be done electronically.

A.4. Efforts to Identify Duplication

Describe efforts to identify duplication.

The forms in PAGE were designed to provide a consistent format for the collection of program information. This information will then be retrieved in order to answer programmatic questions and inquiries. The information collected is unique to the DOE, therefore this collection is not duplicative.

A.5. Provisions for Reducing Burden on Small Businesses

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

Small businesses are not impacted by this information collection.

A.6. Consequences of Less-Frequent Reporting

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.

The Quarterly Performance Report, Annual Report, Technical Assistance, Monitoring, and Leveraging Report, and Historic Preservation Report allow DOE to adequately monitor, report, and ensure transparency and accountability.

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

DOE requires the reporting of activities for E&I: (i) quarterly for the Program Report and (ii) annually for the Annual Report and the Historic Preservation Report.

DOE requires the reporting of activities for SERC and the CSPP Projects Pilot: (i) quarterly for the Program Report and (ii) annually for the Monitoring, Technical Assistance and Leveraging reports.

E&I, SERC, and the CSPP Projects Pilot require quarterly reporting to effectively monitor performance of the grants. 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 the Office of Management and Budget (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 were consolidated into one report in 2004. The reports will be submitted by the states that are SERC and CSPP recipients on an annual basis.

The Annual report and Historic Preservation Report will be submitted by the states that are E&I grant recipients on an annual basis.

The Subgrantee Information Worksheet will be used to collect the Subgrantee information from every E&I Grantee. Grantees are required by 10 CFR 440 to provide information on the number of Subgrantees they are contracting with and their Dun and Bradstreet (DUNS) number.

A.7. Compliance with 5 CFR 1320.5

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

- (a) requiring respondents to report information to the agency more often than quarterly;**
- (b) requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
- (c) requiring respondents to submit more than an original and two copies of any document;**
- (d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years;**

(e) in connection with a statistical survey, that is not designed to product valid and reliable results that can be generalized to the universe of study;

(f) requiring the use of statistical data classification that has not been reviewed and approved by OMB;

(g) that includes a pledge of confidentiality that is not supported by authority established in stature of regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or

(h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

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

A.8. Summary of Consultations Outside of the Agency

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 to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or report.

Federal Register Notice:

E&I Notice of Intent - [Federal Register :: Notice of Intent To Announce Financial Assistance for Weatherization Enhancement and Innovation](#) (Copy of FRN and comments received are attached to this Supporting Statement – There were no responses to the comments)– On June 30, 2021, DOE published a Federal Register Notice titled “Notice of Intent to Announce Financial Assistance for Weatherization Enhancement and Innovation” (FR DOC# 2021-13985, pp. 34730 - 34731). The Notice provided the public with information about the planned Funding Opportunity Announcement (FOA) including anticipated funding levels, eligibility, a tentative timeline for release, and opened a 30-day comment period. DOE received three (3) public comments in response to the Federal Register Notice. A summary of the comments is below, and DOE is taking these into consideration as the final version of the E&I FOA is drafted:

- Prioritize proposals that are planned in full cooperation with the Weatherization Assistance Program and make progress toward health equity, environmental justice, climate change mitigation and decarbonization, and/or job creation.
- Encourage deployment of renewable energy and household participation in community solar systems/programs.

- Encourage the use of healthy building materials in WAP retrofits.
- Prioritize addressing the high rate of deferrals caused by health and safety needs.
- Prioritize proposals that demonstrate a commitment to inter-agency coordination, a comprehensive approach to service delivery, and a plan to limit energy burden and prevent displacement of households.

On November 22, 2021, the Department published a 60-day Federal Register Notice and Request for Comments concerning this collection in the Federal Register, volume 86, document number 2021-25429, and page numbers 66292 and 66293. No comments were received on this 60-day Federal Register Notice and Request for Comments.

Outreach and Consultations:

E&I Listening Sessions - On March 2 and 4, 2021, the National Renewable Energy Laboratory (NREL), on behalf of DOE, hosted virtual Listening Sessions to identify areas of interest to inform the development of the Weatherization Enhancement and Innovation FOA. Interest and attendance in the sessions was robust, with a total of 388 attendees from the WAP network, private consulting firms, and utilities.

Of the five Congressionally directed purposes for the FOA, Listening Session participants had a strong interest in weatherization-readiness and healthy indoor environments. The priority ranking from participants was as follows:

1. Weatherization Ready
2. Healthy Indoor Environments
3. Renewable Energy
4. Hiring and Retention
5. Disseminate New Methods and Best Practices

Participants also provided feedback surrounding alternative methods to calculating cost-effectiveness and cost limits, client equity, collaboration with non-WAP entities, and scalability of projects across the WAP network.

A.9. Payments or Gifts to Respondents

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.

A.10. Provisions for Protection of Information

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.

A.11. Justification for Sensitive Questions

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. This justification should include the reasons why DOE considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

There are no questions of a sensitive nature.

A.12A. Estimate of Respondent Burden Hours

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. Unless directed to do so, DOE should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample fewer than 10 potential respondents is desirable.

The number of E&I Grantees is estimated to be 14 per annual appropriation (currently FY2021 funds are allocated for E&I). Each form will have a burden for the Grantee and for the DOE Project Officer. Below is an explanation of the hour estimates required for each form.

| E&I Form | Grantee Hour Burden (Respondent) |
|---|----------------------------------|
| Grant File Worksheet (GF) | 3 |
| Subgrantee Worksheet (SW) | 2 |
| Quarterly Performance Report (QPR) | 4 |
| Annual Report (AR) | 16 |
| Historic Preservation Annual Report (HPR) | 2 |

The Enhancement and Innovation (E&I) Grants are anticipated to be awarded annually, with 14 grantees each year: 14 grantees in year one, 28 grantees in year two, and 42 grantees in year three. For the purposes of developing the annual burden hour estimate the mean number of Grantees (28) is used as the number of respondents.

Historic preservation reporting will only apply to awards where work is being done in residential buildings, and not the workforce development topic area. We estimate annually awarding 4 grants in the workforce development topic area, and 10 grants in other focus areas that will be installing measures in residential buildings and therefore be subject to historic preservation reporting requirements. For the purposes of developing the annual burden hour estimate, the median number of Grantees (20) is used as the number of respondents.

Thus, the respondent hour calculation is as follows:

E&I QPR: 28 respondents x 4 quarters = 112 responses, 112 responses x 4hrs = 448

E&I AR: 28 respondents x 1 annual response = 28 responses, 28 responses x 16hrs = 448

E&I GF: 28 respondents x 1 annual response = 28 responses, 28 responses x 3hrs = 84

E&I SW: 28 respondents x 1 annual response = 28 responses, 28 responses x 2hrs = 56

E&I HPR: 20 respondents x 1 annual response = 20 responses, 20 responses x 2hrs = 40

The total respondent hours of burden for all E&I forms is estimated to be 448 + 448 + 84 + 56 + 40 = 1076.

The number of SERC Grantees is estimated to be 12 per annual appropriation (currently FY2021 funds are allocated for E&I). Each form will have a burden for the Grantee and for the DOE Project Officer. Below is an explanation of the hour estimates required for each form.

| SERC Form | Grantee (Respondent) |
|------------------------------------|----------------------|
| Quarterly Performance Report (QPR) | 4 |
| Annual File Worksheet (AF) | 4 |

The SERC Grants are anticipated to be awarded annually, with 12 grantees each year: 12 grantees in year one, 24 grantees in year two, and 36 grantees in year three. For the purposes of developing the annual burden hour estimate the mean number of Grantees (24) is used as the number of respondents.

Thus the respondent hour calculation is as follows:

SERC QPR: 24 respondents x 4 quarters = 96 responses, 96 responses x 4hrs = 384

SERC AF: 24 respondents x 1 annual response = 24 responses, 24 responses x 4hrs = 96

The total respondent hours of burden for all SERC forms is estimated to be 384 + 96 = 480.

The number of CSPP Grantees is estimated to be 7 per annual appropriation (currently FY2021 funds are allocated for CSPP). Each form will have a burden for the Grantee and for the DOE Project Officer. Below is an explanation of the hour estimates required for each form.

| CS Form | Grantee (Respondent) |
|------------------------------------|----------------------|
| Quarterly Performance Report (QPR) | 4 |
| Annual File Worksheet (AF) | 4 |

The CSPP Grants are anticipated to be awarded annually, with 7 grantees each year: 7 grantees in year one, 14 grantees in year two, and 21 grantees in year three. For the purposes of developing the annual burden hour estimate the mean number of Grantees (14) is used as the number of respondents.

Thus the respondent hour calculation is as follows:

CSPP QPR: 14 respondents x 4 quarters = 56 responses, 56 responses x 4hrs = 224

CSPP AF: 14 respondents x 1 annual response = 14 responses, 14 responses x 4hrs = 56

The total respondent hours of burden for all CSPP Weatherization forms is estimated to be 224 + 56 = 280.

1076 E&I Respondent Hours + 480 SERC Respondent Hours + 280 CS Respondent Hours =

1836 Combined Total Respondent Burden Hours

Table A1. Estimated Respondent Hour Burden

| Form Number/Title (and/or other Collection Instrument name) | Type of Respondents | Number of Respondents | Annual Number of Responses | Burden Hours Per Response | Annual Burden Hours | Annual Reporting Frequency |
|---|---------------------|-----------------------|----------------------------|---------------------------|---------------------|----------------------------|
| E&I Grant File Worksheet (DOE Form 540.8) | Financial Personnel | 28 | 28 | 3 | 84 | 1 |
| E&I Subgrantee Worksheet (DOE Form 540.5) | Financial Personnel | 28 | 28 | 2 | 56 | 1 |
| E&I Historic Preservation (DOE Form 540.6) | Financial Personnel | 20 | 20 | 2 | 40 | 1 |
| E&I Annual Report (DOE Form 540.7) | Financial Personnel | 28 | 28 | 16 | 448 | 1 |
| E&I Quarterly Performance Report (DOE Form 540.9) | Financial Personnel | 28 | 112 | 4 | 448 | 4 |
| SERC Annual File Worksheet (Combined DOE Forms 540.2) | Financial Personnel | 24 | 24 | 4 | 96 | 1 |

| | | | | | | |
|---|---------------------|-----------|------------|---|-------------|---|
| and 540.4) | | | | | | |
| SERC Quarterly Performance Report (DOE Form 540.11) | Financial Personnel | 24 | 96 | 4 | 384 | 4 |
| CS Annual File Worksheet (Combined DOE Forms 540.2 and 540.4) | Financial Personnel | 14 | 14 | 4 | 56 | 1 |
| CS Quarterly Performance report (DOE Form 540.12) | Financial Personnel | 14 | 56 | 4 | 224 | 4 |
| TOTAL | | 50 | 406 | | 1836 | |

A.12B. Estimate of Annual Cost to Respondent for Burden Hours

Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under ‘Annual Cost to Federal Government’.

Financial Personnel at the State, local, or tribal government level, or other non-profits, will fill out and submit these reports. The average hourly wage rate (adjusted with the 1.4 multiplier for the fully burdened rate) published by the U.S. Department of Labor for this type is \$59.318.¹ By multiplying this by the total annual burden hours that respondents will incur in, we calculate that the total respondents’ costs amount to \$108,907.85. The previously approved collection incorrectly stated that the total cost for respondents was \$32,640. DOE is adjusting these numbers to correct this information.

Table A2. Estimated Respondent Cost Burden

| Type of Respondents | Total Annual Burden Hours | Hourly Wage Rate | *Total Respondent Costs |
|---|---------------------------|------------------|-------------------------|
| State, Local, or Tribal Government, other non-profits | 1836 | 59.318 | 108,908 |
| TOTAL | 1836 | | 108,908 |

*Rounded figures

A.13. Other Estimated Annual Cost to Respondents

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

No other additional costs to respondents.

¹ The Department of Labor’s Bureau of Labor Statistics periodically updates the National Occupational Employment and Wage Estimates for the United States. Personnel Financial Advisors at the State/Territory level fill out and submit this report. See U.S. Bureau of Labor Statistics, U.S. Department of Labor National Occupational Employment and Wage Estimates, https://www.bls.gov/oes/current/oes_nat.htm#13-0000.

A.14. Annual Cost to the Federal Government

Provide estimates of annualized cost to the Federal government.

| E&I Form | DOE PO (Fed Gov) |
|---|---------------------|
| Grant File Worksheet (GF) | 1 |
| Subgrantee Worksheet (SW) | 1 |
| Quarterly Performance Report (QPR) | 1 |
| Annual Report (AR) | 3 |
| Historic Preservation Annual Report (HPR) | 1 |

| SERC Form | DOE PO (Fed Gov) |
|------------------------------------|---------------------|
| Quarterly Performance Report (QPR) | 1 |
| Annual File Worksheet (AF) | 2 |

| CS Form | DOE PO (Fed Gov) |
|------------------------------------|---------------------|
| Quarterly Performance Report (QPR) | 1 |
| Annual File Worksheet (AF) | 2 |

Estimated Annual Time Required for DOE Staff to Review Responses: E&I AF: $28 \times 1 = 28$ hrs, E&I SW: $28 \times 1 = 28$ hrs, E&I HP: $20 \times 1 = 20$ hrs, E&I QPR: $28 \times 4 = 112$ hrs, Annual Report: $28 \times 3 = 84$ hrs, SERC QPR: $24 \times 4 = 96$ hrs, SERC Annual File: $24 \times 2 = 48$ hrs, CS QPR: $14 \times 4 = 56$ hrs, CS Annual File: $14 \times 2 = 28$ hrs) = $28 + 28 + 20 + 112 + 84 + 96 + 48 + 56 + 28 = 500$ hours

Estimated Annual Cost in Dollars to the Federal Government (fully burdened rate): 500 hours x \$78.05 hourly wage rate² = **\$39,025**

² https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2020/DCB_h.pdf

A.15. Reasons for Changes in Burden

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

This information collection request is a reinstatement, with change, of the 1910-5157 collection. Because this collection was previously discontinued, there is no existing approved hourly burden, and all burdens are represented as changes due to agency discretion as a result of re-instating the collection.

Table A4. ICR Summary of Burden

| | Requested | Program Change Due to Agency Discretion | Change Due to Adjustment in Agency Estimate |
|---------------------------|-----------|---|---|
| Total Number of Responses | 406 | 406 | 0 |
| Total Time Burden (Hr) | 1,836 | 1,836 | 0 |
| Total Cost Burden | \$108,908 | \$108,908 | 0 |

A.16. Collection, Tabulation, and Publication Plans

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

There are no plans for publication.

A.17. OMB Number and Expiration Date

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.

A.18. Certification Statement

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 of OMB Form 83-I.