

ASSISTANCE AGREEMENT

1. Award No. DE-EE0003565		2. Modification No. 001	3. Effective Date 06/01/2010	4. CFDA No. 81.128
5. Awarded To PORTLAND, CITY OF Attn: GREG LOCATI 1120 SW FIFTH ROOM 1250 PORTLAND OR 972041986		6. Sponsoring Office Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401		7. Period of Performance 06/01/2010 through 05/31/2013
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other	9. Authority PL 110-140, EISA 2007 PL 111-5, Recovery Act 2009		10. Purchase Request or Funding Document No. 10EE007555	
11. Remittance Address PORTLAND, CITY OF Attn: GREG LOCATI 1120 SW FIFTH ROOM 1250 PORTLAND OR 972041986		12. Total Amount Govt. Share: \$20,000,000.00 Cost Share : \$0.00 Total : \$20,000,000.00		13. Funds Obligated This action: \$0.00 Total : \$20,000,000.00
14. Principal Investigator Andreea Codorean Phone: 503-823-6944		15. Program Manager Carolyn C. Elam Phone: 303-275-4953		16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393
17. Submit Payment Requests To		18. Paying Office OR for Golden U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4517 Oak Ridge TN 37831		19. Submit Reports To See Attachment #3
20. Accounting and Appropriation Data				
21. Research Title and/or Description of Project RECOVERY ACT: EECBG - CLEAN ENERGY WORKS OREGON (CEWO)				
For the Recipient		For the United States of America		
22. Signature of Person Authorized to Sign		25. Signature of Grants/Agreements Officer Signature on File		
23. Name and Title	24. Date Signed	26. Name of Officer Sara J. Wilson		27. Date Signed 09/21/2010

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED

DE-EE0003565/001

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NAME OF OFFEROR OR CONTRACTOR

PORTLAND, CITY OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 054971197</p> <p>The purposes of this modification are to:</p> <p>1) Approve the sub contractor, Clean Energy Works Oregon, Inc.</p> <p>2) Delete and replace the Special Terms and Conditions and,</p> <p>3) Add Attachment #3, Reporting Requirements Checklist and Instructions, DOE F 4600.2.</p> <p>All other terms and conditions remain unchanged.</p> <p>DOE Award Administrator: Debbie Reynolds E-mail: Deborah.reynolds@go.doe.gov Phone: 303-275-4913</p> <p>DOE Project Officer: Carolyn Elam E-mail: Carolyn.elam@go.doe.gov Phone: 303-275-4953</p> <p>Recipient Business Officer: Andreea Codorean E-mail: Andreea.codorean@ci.portland.or.us Phone: 503-823-6944</p> <p>Recipient Principal Investigator: Andria Jacob E-mail: ajacob@ci.portland.or.us Phone: 503-823-7616</p> <p>Electronic signature or signatures as used in this document means a method of signing an electronic message that--</p> <p>(A) Identifies and authenticates a particular person as the source of the electronic message;</p> <p>(B) Indicates such person's approval of the information contained in the electronic message;</p> <p>(C) Submission via FedConnect constitutes electronically signed documents.</p> <p>ASAP: Yes</p> <p>Extent Competed: COMPETED</p> <p>Davis-Bacon Act: Yes</p> <p>Fund: 05795 Appr Year: 2009 Allottee: 31 Report Entity: 200835 Object Class: 41020 Program: 1005112 Project: 2004351 WFO: 00000000 Local Use: 00000000 TAS Agency: 89 TAS Account: 0331</p> <p>ASAP: Yes Extent Competed: COMPETED Davis-Bacon Act: YES</p> <p>Continued ...</p> <p>Fund: 05795 Appr Year: 2009 Allottee: 31 Report</p>				

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0003565/001PAGE OF
3 | 3NAME OF OFFEROR OR CONTRACTOR
PORTLAND, CITY OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	Entity: 200835 Object Class: 41020 Program: 1005112 Project: 2004351 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0331				

**U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST
AND INSTRUCTIONS**

184423

DE-EE0003565/001
Attachment #3

1. Identification Number: DE-EE0003565,001		2. Program/Project Title: City of Portland, OR Energy Efficiency and Conservation Block Grant	
3. Recipient: City of Portland, OR			
4. Reporting Requirements	Frequency	No. of Copies	Addressees
A. MANAGEMENT REPORTING			
<input checked="" type="checkbox"/> Progress Report	Q, F	Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input checked="" type="checkbox"/> Special Status Report	A	Electronic Version	
B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/etdweb/ .)			
Report/Product	Form		
<input type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3		
<input type="checkbox"/> Conference papers/proceedings*	DOE F 241.3		
<input type="checkbox"/> Software/Manual	DOE F 241.4		
<input type="checkbox"/> Other (see special instructions)	DOE F 241.3		
* Scientific and technical conferences only			
C. FINANCIAL REPORTING			
<input checked="" type="checkbox"/> SF-425, Financial Status Report	Q, F	Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input checked="" type="checkbox"/> Leveraged Funding Report	A		
D. CLOSEOUT REPORTING			
<input type="checkbox"/> Patent Certification	F		TBD
<input checked="" type="checkbox"/> Property Certification			
<input type="checkbox"/> Other			
E. OTHER REPORTING			
<input type="checkbox"/> Annual Indirect Cost Proposal	A		WWW.FEDERALREPORTING.GOV
<input type="checkbox"/> Annual Inventory of Federally Owned Property, if any			
<input checked="" type="checkbox"/> Other-See Section 5 below:			

FREQUENCY CODES AND DUE DATES:

- | | |
|---------------------------------------------------------------------------|------------------------------------------------------------------|
| A - Within 5 calendar days after events or as needed. | S - Semiannually; within 30 days after end of reporting period. |
| F - Final; 90 calendar days after expiration or termination of the award. | Q -Quarterly; within 30 days after end of the reporting period. |
| Y - Yearly; 90 days after the end of the reporting period. | M-Monthly, within 30 days after the end of the reporting period. |

5. Special Instructions: Forms are available at <https://www.eere-pmc.energy.gov/forms.aspx>.
- The Quarterly EECBG Progress Report will be due on the 30th of the month following the quarter for which data is being reported. See instructions at: http://www.eecbg.energy.gov/Downloads/EECBG_10-07A.pdf
 - Submit reports to the DOE Project Officer.
 - Submit a report of leveraged fund expenditures to the DOE Project Officer, upon request.

Other Reporting:

- ARRA-Performance Progress Report: The required reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act. Recipients are instructed to maintain data in order to report cumulatively. See the Special Terms and Conditions for Recovery Act reporting requirements, along with the following web site: <http://www.federalreporting.gov>.
- Disposition of Historic Preservation Consultations by Category Report: This report shall be submitted annually on September 1. A reporting format will be forthcoming.

See Federal Assistance Reporting Instructions on following pages for more details.

Federal Assistance Reporting Instructions

A. MANAGEMENT REPORTING

Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.
5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
6. Cost Status. Show approved budget by budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.
7. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variance. You may use your own project management system to provide this information.
8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
11. A description of any product produced or technology transfer activities accomplished during this reporting period, such as:
 - A. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award.
 - B. Web site or other Internet sites that reflect the results of this project.

- C. Networks or collaborations fostered.
- D. Technologies/Techniques.
- E. Inventions/Patent Applications
- F. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

Special Status Report

The recipient must report the following events by e-mail as soon as possible after they occur:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays, or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:
 - a. Any single fatality or injuries requiring hospitalization of five or more individuals.
 - b. Any significant environmental permit violation.
 - c. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes.
 - d. Any incident which causes a significant process or hazard control system failure.
 - e. Any event which is anticipated to cause a significant schedule slippage or cost increase.
 - f. Any damage to Government-owned equipment in excess of \$50,000.
 - g. Any other incident that has the potential for high visibility in the media.

ANNUAL REPORTS

- h. **FOR UNITS OF LOCAL GOVERNMENT AND NONPROFITS:** Submit annual reports not later than two (2) years after the effective date of this award and annually thereafter. The annual report shall describe the status of development and implementation of the energy efficiency and conservation strategy and an assessment of energy efficiency gains within the jurisdiction of the eligible unit of local government or nonprofit organizations. The annual report shall also address the metrics listed below.

- i. FOR STATES: Submit annual reports not later than one (1) year after the effective date of this award and annually thereafter. The annual report will include the metrics listed below as well as:
 - a. The status of the subgrant program of the state;
 - b. Specific energy efficiency and conservation goals of the state for subsequent calendar years;

Protected Personally Identifiable Information (PII)

Reports must not contain any *Protected* PII. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number, and general educational credentials. In contrast, *Protected* PII is defined as an individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.

B. SCIENTIFIC/TECHNICAL REPORTS

Final Scientific/Technical Report

Content. The final scientific/technical report must include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. Identify the DOE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.
2. Display prominently on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports.
3. Provide an executive summary, which includes a discussion of 1) how the research adds to the understanding of the area investigated; 2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or 3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layman.
4. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
5. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.

6. Identify products developed under the award and technology transfer activities, such as:
 - a. Publications (list journal name, volume, issue), conference papers, or other public releases of results. If not provided previously, attach or send copies of any public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award;
 - b. Web site or other Internet sites that reflect the results of this project;
 - c. Networks or collaborations fostered;
 - d. Technologies/Techniques;
 - e. Inventions/Patent Applications, licensing agreements; and
 - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
7. For projects involving computer modeling, provide the following information with the final report:
 - a. Model description, key assumptions, version, source and intended use;
 - b. Performance criteria for the model related to the intended use;
 - c. Test results to demonstrate the model performance criteria were met (e.g., code verification/validation, sensitivity analyses, history matching with lab or field data, as appropriate);
 - d. Theory behind the model, expressed in non-mathematical terms;
 - e. Mathematics to be used, including formulas and calculation methods;
 - f. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
 - g. Hardware requirements; and
 - h. Documentation (e.g., users guide, model code).

Electronic Submission. The final scientific/technical report must be submitted electronically-via the DOE Energy Link System (E-Link) accessed at <http://www.osti.gov/mlink-2413>.

Electronic Format. Reports must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted electronically, should be sent to the Contracting Officer at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. The report must be accompanied by a completed electronic version of DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." You can complete, upload, and submit the DOE F.241.3 online via E-Link. You are encouraged not to submit patentable material or protected data in these reports, but if there is such material or data in the report, you must: (1) clearly identify patentable or protected data on each page of the report; (2) identify such material on the cover of the report; and (3) mark the appropriate block in Section K of the DOE F 241.3. Reports must not contain any limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release. Protected data is specific technical data, first produced in the performance of the award that is protected from public release for a period of time by the terms of the award agreement.

Conference Papers/Proceedings

Content: The recipient must submit a copy of any conference papers/proceedings, with the following information: (1) Name of conference; (2) Location of conference; (3) Date of conference; and (4) Conference sponsor.

Electronic Submission. Scientific/technical conference paper/proceedings must be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/mlink-2413>. Non-scientific/technical conference papers/proceedings must be sent to the URL listed on the Reporting Checklist.

Electronic Format. Conference papers/proceedings must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. If the proceedings cannot be submitted electronically, they should be sent to the DOE Administrator at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. Scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on E-Link at <http://www.osti.gov/mlink-2413>. This form is not required for non-scientific or non-technical conference papers or proceedings.

Software/Manual

Content. Unless otherwise specified in the award, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts.

Electronic Submission. Submissions may be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/estsc/241-4pre.jsp>. They may also be submitted via regular mail to:

Energy Science and Technology Software Center
P.O. Box 1020
Oak Ridge, TN 37831

Submittal Form. Each software deliverable and its manual must be accompanied by a completed DOE Form 241.4 "Announcement of U.S. Department of Energy Computer Software." The form and instructions are available on E-Link at <http://www.osti.gov/estsc/241-4pre.jsp>.

C. FINANCIAL REPORTING

FOR ALL RECIPIENTS: Submit a Quarterly Progress Report and the SF-425 Federal Financial Report. Instructions for the Quarterly Progress Report are below. The SF-425 is available at <http://www.whitehouse.gov/omb/grants/index.html>.

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at <http://www.directives.doe.gov/pdfs/forms/2050-11.pdf> and http://management.energy.gov/business_doe/business_forms.htm

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at <http://grants.pr.doe.gov>.

E. OTHER REPORTING

ARRA PERFORMANCE PROGRESS REPORT

Failure to comply with this reporting requirement may result in termination of that part of the award funding by Recovery Act.

Not later than 10 days after the end of each calendar quarter, each recipient shall submit a report to the grantor agency that contains:

- The total amount of American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, covered funds received from that agency;
- The amount of American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, covered funds received that were expended or obligated to project or activities;
- A detailed list of all projects for which American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, covered funds were expended or obligated including:
 - Name of project
 - Description of project
 - Evaluation of the completion status of project
 - Estimate of number of jobs created and retained by project *in the manner and form prescribed by DOE*

- o Infrastructure investments made by State and local governments, purpose, total cost, rationale or agency for funding infrastructure investment, name of agency contact.
- o Information on subcontracts or subgrants awarded by recipient to include data elements required to comply with the Federal Accountability and Transparency Act of 2006 (Pub. L. 109-282).

DOE intends to append the periodic ARRA – Performance Progress Report to include reporting on the following, at a minimum:

The results of the funding provided for the EECBG Program through the American Recovery and Reinvestment Act (ARRA) will be assessed according to the following performance metrics:

- Jobs created and/or retained
- Energy (kwh/therms/gallons/BTUs/etc.) saved
- Renewable energy generated
- GHG emissions reduced
- Cost savings

The metrics described below are designed to track the accomplishments of projects funded by EECBG. States must not include results reported by direct grant recipients. Grant recipients will be presented with reporting requirements at the time they receive funding and will be expected to report their achievements in terms of the specified metrics presented below.

Grant recipients will be required to report on project expenditures, and also on specific activities and achievements, such as square feet of buildings retrofitted. These items tend to be outputs (actions taken by grant recipients) but also include some short-term outcomes (results achieved relatively soon after project outputs occur that lead toward attainment of ultimate project objectives).

Expenditures: Accurate records should be kept on project expenditures for all EECBG ARRA funded efforts. The specific information to be gathered and tracked is listed below. It will be the same for all project types:

- Expenditures for project activities
- Expenditures for administration
- Expenditures for evaluation
- Leveraged funds

Short-term Outcomes (DOE will provide supplemental guidance on how to calculate these outcomes to ensure consistent approaches that results can be aggregated at a regional, State and national level):

Energy Savings (kwh equivalents)

- Annual reduction in natural gas consumption (mmcf) by sector and end-use category
- Annual reduction in electricity consumption (MWh) by sector and end-use category
- Annual reduction in electricity demand (MW) by sector and end-use category

- Annual reduction in fuel oil consumption (gallons) by sector and end-use category
- Annual reduction in propane consumption (gallons) by sector and end-use category
- Annual reduction in gasoline and diesel fuel consumption (gallons) by sector and end-use category

Job Creation/Retention

- Number
- Type
- Duration

Renewable Energy Capacity and Generation

- Amount of wind-powered electric generating capacity installed (MW)
- Amount of electricity generated from wind systems (MWh)
- Amount of photovoltaic generating capacity installed (MW)
- Amount of electricity generated from photovoltaic systems (MWh)
- Amount of electric generating capacity from other renewable sources installed (MW)
- Amount of electricity generated from other renewable sources (MWh)

Emissions Reductions (tons) (CO2 equivalents)

- Methane
- Carbon
- Sulfur dioxide
- Nitrogen oxide
- Carbon monoxide

DISPOSITION OF HISTORIC PRESERVATION CONSULTATIONS BY CATEGORY REPORT

This report shall be submitted annually on September 1. A reporting format will be forthcoming.

Annual Inventory of Federally Owned Property

Requirement. If at any time during the award the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the recipient must submit an annual inventory of this property to the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th.

Content of Inventory. The inventory must include a description of the property, tag number, acquisition date, location of property, and acquisition cost, if purchased with project funds. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

ASSISTANCE AGREEMENT

1. Award No. DE-EE0003565		2. Modification No. 002		3. Effective Date 06/01/2010		4. CFDA No. 81.128	
5. Awarded To PORTLAND, CITY OF Attn: GREG LOCATI 1120 SW FIFTH ROOM 1250 PORTLAND OR 972041986				6. Sponsoring Office Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401			7. Period of Performance 06/01/2010 through 05/31/2013
8. Type of Agreement <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Other		9. Authority PL 110-140, EISA 2007 PL 111-5, Recovery Act 2009			10. Purchase Request or Funding Document No. 11EE002166		
11. Remittance Address PORTLAND, CITY OF Attn: GREG LOCATI 1120 SW FIFTH ROOM 1250 PORTLAND OR 972041986				12. Total Amount Govt. Share: \$20,000,000.00 Cost Share : \$0.00 Total : \$20,000,000.00		13. Funds Obligated This action: \$0.00 Total : \$20,000,000.00	
14. Principal Investigator Andria Jacob Phone: 503-823-7616		15. Program Manager Stephen V. Dunn Phone: 720-356-1603			16. Administrator Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393		
17. Submit Payment Requests To			18. Paying Office OR for Golden U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4517 Oak Ridge TN 37831			19. Submit Reports To See Attachment #3	
20. Accounting and Appropriation Data See Schedule							
21. Research Title and/or Description of Project RECOVERY ACT: EECBG - CLEAN ENERGY WORKS OREGON (CEWO)							
For the Recipient				For the United States of America			
22. Signature of Person Authorized to Sign				25. Signature of Grants/Agreements Officer Signature on File			
23. Name and Title		24. Date Signed		26. Name of Officer Patrick R. Liles		27. Date Signed 02/04/2011	

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED

DE-EE0003565/002

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NAME OF OFFEROR OR CONTRACTOR

PORTLAND, CITY OF

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>DUNS Number: 054971197</p> <p>The purposes of this modification are to:</p> <p>1) Delete and replace Attachment #3, Federal Assistance Reporting Checklist and Instructions, DOE F 4600.2; and</p> <p>2) Update the DOE Project Officer, as shown below.</p> <p>All other terms and conditions remain unchanged.</p> <p>Note: This action is an administrative modification action to update the Federal Assistance Reporting Checklist and Instructions and DOE Project Officer only. Any negotiated changes to the Budget or Statement of Project Objectives will be incorporated in a future modification.</p> <p>All other terms and conditions remain unchanged.</p> <p>DOE Award Administrator: Debbie Reynolds E-mail: deborah.reynolds@go.doe.gov Phone: 303-275-4913</p> <p>DOE Project Officer: Steve Dunn E-mail: steve.dunn@go.doe.gov Phone: 720-356-1603</p> <p>Recipient Business Officer: Andreea Codorean E-mail: Andreea.codorean@ci.portland.or.us Phone: 503-823-6944</p> <p>Recipient Principal Investigator: Andria Jacob E-mail: ajacob@ci.portland.or.us Phone: 503-823-7616</p> <p>"Electronic signature or signatures as used in this document means a method of signing an electronic message that--</p> <p>(A) Identifies and authenticates a particular person as the source of the electronic message;</p> <p>(B) Indicates such person's approval of the information contained in the electronic message; and,</p> <p>(C) Submission via FedConnect constitutes electronically signed documents."</p> <p>ASAP: Yes Extent Competed: COMPETED Davis-Bacon Act: YES</p>				

U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST
AND INSTRUCTIONSDE-EE0003565/002
Attachment #3

1. Identification Number: DE-EE0003565, 002		2. Program/Project Title: EECBG - Clean Energy Works Oregon (CEWO)	
3. Recipient: City of Portland, OR			
4. Reporting Requirements	Frequency	No. of Copies	Addressees
A. MANAGEMENT REPORTING			
<input checked="" type="checkbox"/> Progress Report	Q, F	Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input checked="" type="checkbox"/> Special Status Report	A	Electronic Version	
B. SCIENTIFIC/TECHNICAL REPORTING (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at www.osti.gov/elinek .)			
Report/Product <input checked="" type="checkbox"/> Final Scientific/Technical Report <input type="checkbox"/> Conference papers/proceedings* <input type="checkbox"/> Software/Manual <input type="checkbox"/> Other (see special instructions) * Scientific and technical conferences only	Form DOE F 241.3 DOE F 241.3 DOE F 241.4 DOE F 241.3		http://www.osti.gov/elinek-2413 http://www.osti.gov/elinek-2413 http://www.osti.gov/estsc/241-4pre.jsp
C. FINANCIAL REPORTING			
<input checked="" type="checkbox"/> SF-425, Financial Status Report <input type="checkbox"/> Leveraged Funding Report	Q, F	Electronic Version	https://www.eere-pmc.energy.gov/SubmitReports.aspx
D. CLOSEOUT REPORTING			
<input type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certification <input type="checkbox"/> Other	F		TBD
E. OTHER REPORTING			
<input type="checkbox"/> Annual Indirect Cost Proposal <input type="checkbox"/> Annual Inventory of Federally Owned Property, if any <input checked="" type="checkbox"/> Other-See Section 5 below <input checked="" type="checkbox"/> Other-Historic Preservation Report (See Section 5 below)	A A	Electronic Version Electronic Version	WWW.FEDERALREPORTING.GOV https://www.eere-pmc.energy.gov/SubmitReports.aspx

FREQUENCY CODES AND DUE DATES:

- | | |
|---------------------------------------------------------------------------|------------------------------------------------------------------|
| A - Within 5 calendar days after events or as needed. | S - Semiannually; within 30 days after end of reporting period. |
| F - Final; 90 calendar days after expiration or termination of the award. | Q -Quarterly; within 30 days after end of the reporting period. |
| Y - Yearly; 90 days after the end of the reporting period. | M-Monthly; within 30 days after the end of the reporting period. |

5. Special Instructions: Forms are available at <https://www.eere-pmc.energy.gov/forms.aspx>.**Other Reporting:**

1. Building Retrofit Activity Report: Monthly building retrofit summary reports are due no later than 30 calendar days after each month. Quarterly building retrofit activity reports are due no later than 30 calendar days after end of the quarterly reporting period. For the October 1 – December 31, 2010 reporting period only, complete the quarterly programmatic report, included in part II of the quarterly progress report spreadsheet as the 'Q4 programmatic status' tab.
2. ARRA-Performance Progress Report: The required reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act. Recipients are instructed to maintain data in order to report cumulatively. See the Special Terms and Conditions for Recovery Act reporting requirements, along with the following web site: <http://www.federalreporting.gov>.
3. Disposition of Historic Preservation Consultations by Category Report: Reporting period is September 1 through August 31. For the period 9/1/09-8/31/10, the due date is January 30, 2011. Hereafter, reports shall be submitted annually on September 1. Historic Preservation Reports shall be submitted to the Project Management Center (PMC) using attached format (Appendix A – OMB Control Number 1910-5155).

See Federal Assistance Reporting Instructions on following pages for more details.

Federal Assistance Reporting Instructions

A. MANAGEMENT REPORTING

Progress Report

The Progress Report must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. A comparison of the actual accomplishments with the goals and objectives established for the period and reasons why the established goals were not met.
5. A discussion of what was accomplished under these goals during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.
6. Cost Status. Show approved budget by budget period and actual costs incurred. If cost sharing is required break out by DOE share, recipient share, and total costs.
7. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variance. You may use your own project management system to provide this information.
8. Any changes in approach or aims and reasons for change. Remember significant changes to the objectives and scope require prior approval by the contracting officer.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them.
10. Any absence or changes of key personnel or changes in consortium/teaming arrangement.
11. A description of any product produced or technology transfer activities accomplished during this reporting period, such as:
 - A. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award.
 - B. Web site or other Internet sites that reflect the results of this project.
 - C. Networks or collaborations fostered.

- D. Technologies/Techniques.
- E. Inventions/Patent Applications
- F. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

Special Status Report

The recipient must report the following events by e-mail as soon as possible after they occur:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays, or adverse conditions which materially impair the recipient's ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:
 - a. Any single fatality or injuries requiring hospitalization of five or more individuals.
 - b. Any significant environmental permit violation.
 - c. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes.
 - d. Any incident which causes a significant process or hazard control system failure.
 - e. Any event which is anticipated to cause a significant schedule slippage or cost increase.
 - f. Any damage to Government-owned equipment in excess of \$50,000.
 - g. Any other incident that has the potential for high visibility in the media.

Protected Personally Identifiable Information (PII)

Reports must not contain any *Protected PII*. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number, and general educational credentials. In contrast, *Protected PII* is defined as an individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.

B. SCIENTIFIC/TECHNICAL REPORTS

Final Scientific/Technical Report

Content. The final scientific/technical report must include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

1. Identify the DOE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.
2. Display prominently on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports.
3. Provide an executive summary, which includes a discussion of 1) how the research adds to the understanding of the area investigated; 2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or 3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layman.
4. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
5. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.
6. Identify products developed under the award and technology transfer activities, such as:
 - a. Publications (list journal name, volume, issue), conference papers, or other public releases of results. If not provided previously, attach or send copies of any public releases to the DOE Project Officer identified in Block 11 of the Notice of Financial Assistance Award;
 - b. Web site or other Internet sites that reflect the results of this project;
 - c. Networks or collaborations fostered;
 - d. Technologies/Techniques;
 - e. Inventions/Patent Applications, licensing agreements; and
 - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
7. For projects involving computer modeling, provide the following information with the final report:

- a. Model description, key assumptions, version, source and intended use;
- b. Performance criteria for the model related to the intended use;
- c. Test results to demonstrate the model performance criteria were met (e.g., code verification/validation, sensitivity analyses, history matching with lab or field data, as appropriate);
- d. Theory behind the model, expressed in non-mathematical terms;
- e. Mathematics to be used, including formulas and calculation methods;
- f. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
- g. Hardware requirements; and
- h. Documentation (e.g., users guide, model code).

Electronic Submission. The final scientific/technical report must be submitted electronically-via the DOE Energy Link System (E-Link) accessed at <http://www.osti.gov/elink-2413>.

Electronic Format. Reports must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted electronically, should be sent to the Contracting Officer at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. The report must be accompanied by a completed electronic version of DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." You can complete, upload, and submit the DOE F.241.3 online via E-Link. You are encouraged not to submit patentable material or protected data in these reports, but if there is such material or data in the report, you must: (1) clearly identify patentable or protected data on each page of the report; (2) identify such material on the cover of the report; and (3) mark the appropriate block in Section K of the DOE F 241.3. Reports must not contain any limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release. Protected data is specific technical data, first produced in the performance of the award that is protected from public release for a period of time by the terms of the award agreement.

Conference Papers/Proceedings

Content: The recipient must submit a copy of any conference papers/proceedings, with the following information: (1) Name of conference; (2) Location of conference; (3) Date of conference; and (4) Conference sponsor.

Electronic Submission. Scientific/technical conference paper/proceedings must be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/mlink-2413>.

Non-scientific/technical conference papers/proceedings must be sent to the URL listed on the Reporting Checklist.

Electronic Format. Conference papers/proceedings must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. If the proceedings cannot be submitted electronically, they should be sent to the DOE Administrator at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. Scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on E-Link at <http://www.osti.gov/mlink-2413>. This form is not required for non-scientific or non-technical conference papers or proceedings.

Software/Manual

Content. Unless otherwise specified in the award, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts.

Electronic Submission. Submissions may be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/estsc/241-4pre.jsp>. They may also be submitted via regular mail to:

Energy Science and Technology Software Center
P.O. Box 1020
Oak Ridge, TN 37831

Submittal Form. Each software deliverable and its manual must be accompanied by a completed DOE Form 241.4 "Announcement of U.S. Department of Energy Computer Software." The form and instructions are available on E-Link at <http://www.osti.gov/estsc/241-4pre.jsp>.

C. FINANCIAL REPORTING

FOR ALL RECIPIENTS: Submit a Quarterly Progress Report and the SF-425 Federal Financial Report. Instructions for the Quarterly Progress Report are below. The SF-425 is available at <http://www.whitehouse.gov/omb/grants/index.html>.

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at <http://www.directives.doe.gov/pdfs/forms/2050-11.pdf> and http://management.energy.gov/business_doe/business_forms.htm

Property Certification

The recipient must provide the Property Certification, including the required inventories of non-exempt property, located at <http://grants.pr.doe.gov>.

E. OTHER REPORTING

ARRA PERFORMANCE PROGRESS REPORT

Failure to comply with this reporting requirement may result in termination of that part of the award funding by Recovery Act.

Not later than 10 days after the end of each calendar quarter, each recipient shall submit a report to the grantor agency that contains:

- The total amount of American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, covered funds received from that agency;
- The amount of American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, covered funds received that were expended or obligated to project or activities;
- A detailed list of all projects for which American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, covered funds were expended or obligated including:
 - Name of project
 - Description of project
 - Evaluation of the completion status of project
 - Estimate of number of jobs created and retained by project *in the manner and form prescribed by DOE*
 - Infrastructure investments made by State and local governments, purpose, total cost, rationale or agency for funding infrastructure investment, name of agency contact.
 - Information on subcontracts or subgrants awarded by recipient to include data elements required to comply with the Federal Accountability and Transparency Act of 2006 (Pub. L. 109-282).

BUILDING RETROFIT ACTIVITY REPORTING

Each recipient shall submit monthly and quarterly reports to DOE that provide detailed information on retrofits performed, by building type. The monthly reports summarize the energy audit and building retrofit activity completed in the prior month. The quarterly reports provide a detailed description of retrofit activity for each building or unit retrofitted. See further instructions below.

MONTHLY REPORTING

Recipients shall provide a monthly summary of building retrofit activity completed. Reports shall include all retrofit activity completed through DOE funds, including retrofit activity completed through use of leveraged funds. Submission of information on number of building energy audits completed is voluntary.

The monthly reporting shall include the following:

- Number of audits completed (voluntary)
- Number of retrofits completed by sector
 - Residential
 - Commercial
 - Industrial or agricultural

If retrofit activity includes multiple units within a single building, the monthly retrofit activity report must separately show the number of buildings and units retrofitted.

Example: A recipient including its sub-recipients / subcontractors) completes 151 audits, and performs retrofits on 51 buildings, including 40 single-family homes, 1 condominium building with 30 individual units, and 10 commercial buildings.

NUMBER OF AUDITS AND RETROFITS		
Sector	Number of completed Audits	Number of completed Building Retrofits
Residential - Single Family	100	40
Residential - Multi-Family Units	30	30
Residential - Multi-Family Buildings	1	1
Commercial	20	10
Industrial	0	
Agricultural	0	

Monthly audit and retrofit activity reports are due no later than thirty calendar days following the end of each month. Monthly reports shall be submitted to DOE through the Better Buildings Information System (see description below).

QUARTERLY REPORTING

Recipients are required to submit quarterly retrofit activity reports describing quarterly program and retrofit activity to DOE through the BBIS either in a standardized excel-based data collection template, or XML format. For the October 1 – December 31, 2010 reporting period only, complete the quarterly programmatic report included in part II of the quarterly progress report spreadsheet as the 'Q4 programmatic status' tab. The loan product information tab is voluntary.

A summary of the required quarterly reporting metrics is provided below. DOE Account Managers will provide recipients with additional instructions for completing the quarterly program and retrofit activity reports.

The quarterly reporting template includes voluntary reporting elements and metrics. Recipients are requested, but not required to complete metrics that are designated as voluntary. All other metrics are required, except those that are not applicable to the recipient.

A. Program Information

Recipients shall provide quarterly reports on the following program activities. Reports shall include a description of all activity supported through BetterBuildings, including work completed through leveraged funds.¹ Reports should provide quarterly and cumulative totals for the recipient and all sub-recipients and program partners.

1. Costs
 - Obligations by Grantee (\$)
 - Obligations by Subgrantees (\$)
 - Outlays by Subgrantees (\$)
 - Marketing & Outreach (\$)
 - Labor and material Costs (\$)
 - Other Program Expenses (\$)
2. Job Hours Worked
 - Total job hours worked funded by ARRA and non-ARRA leveraged funds²

¹ Leveraged funds means an estimate of the third-party, in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal Government

² A job hour worked includes hours worked administrating or working under projects funded by ARRA and leveraged funds (i.e., state and local funds, utilities, financial institutions, private contributions, etc). This includes, but is not limited to, administrative staff, consultants and contractors involved in the management or deployment of retrofit activities. Please note this is separate and in addition to the ARRA Federal Reporting requirements. For example, if a retrofit project was funded by leveraged funds (i.e., a partnering financial institution's loan leveraged by ARRA dollars), then the total number of job hours worked by a contracting team to complete the retrofit project would be included in the total job hours worked during the quarter when the work was performed.

3. Audits Completed
4. Leveraging
 - Other federal expenditures (\$)
 - Non-federal expenditures (\$)
5. Market Transformation
 - Number of active contractors performing retrofits under program
6. Marketing and Outreach³
 - Number of outreach events
 - Number of target audience contacted
 - Number of target audience engaged
7. Market Characterization
 - Market characterization information, such as surveys or studies
8. Loan Product Information
 - Credit Enhancements
 - Loan Types
 - Payment
 - Sectors served (Residential, Commercial, Industrial/Agricultural)
 - Capital Sources
 - Underwriting Criteria
 - Loan Terms

B. Building Retrofit Reports

Recipients shall provide quarterly information on retrofits completed by sector. Reporting elements and individual metrics for sectors that are not applicable to a recipient (e.g., commercial buildings for a program performing residential retrofits, or retrofit measures not installed) are left blank. The reporting metrics include voluntary fields, listed below in Section C. Information on voluntary metrics is requested from recipients but not required to remain in compliance with reporting requirements.

Recipients are restricted from submitting Protected Personally Identifiable Information (PII) to DOE. PII is any information about an individual which can be used to distinguish or trace an individual's identity. For more information, see the definition of PII on page 3 of these instructions.

Quarterly and cumulative retrofit activity shall be reported by building type, as follows:

- Residential
- Commercial
- Industrial or Agricultural

³ Marketing and Outreach characteristics subjected to individual outreach activity (please see Quarterly Programmatic spreadsheet for more detail). Grantee should only report on the outreach activities deployed.

If a retrofit is being performed on multiple units within a building, each building should be reported as a retrofit, along with information on each unit retrofitted.

The reporting elements for each building type are:

- General Project Data
- General Building Data
- Completed Building Audits
- Marketing and Outreach
- Retrofit Information
- Installed Measures / New Equipment
- Old Equipment Removed⁴
- Installed Measures / Modeled or Estimated Energy Savings
- Renewable Energy Systems Installed
- Utility Account Permissions
- Post Retrofit QA/QC Completed
- Financing Loan Acceptance
- Financial Products Used
- Loan Terms
- Loan Underwriting Criteria⁵
- Loan Performance Data⁶

A detailed description of each reporting metric and additional instructions for completing each reporting field will be provided by DOE.

C. Voluntary Reporting

Recipients have the opportunity to provide valuable voluntary data to DOE that may yield meaningful insight into program progress and identifying what works and what doesn't – allowing for quicker adjustment of program design. Voluntary data fields are highlighted in white in the Data Collection Spreadsheet and are listed by category below.

Monthly Reporting:

- Completed Building Audits

Quarterly Reporting:

- Additional details on home:
 - Year built
 - Conditioned floor space (if residential)

⁴ Old equipment removed is a voluntary reporting metric.

⁵ DOE only requests underwriting criteria the partnering financial institution is already collecting during their underwriting process.

⁶ Because loan performance data will evolve each quarter, a separate spreadsheet will be provided to track this information.

- Audits
 - Breakdown of audit costs shared among BetterBuildings funds and leveraged funds
 - Copy of audit report
- Marketing and Outreach
 - Marketing message and outreach mechanisms that were deployed to reach building owner who completed audit/retrofits
- Retrofits
 - Breakdown of sources and financial contribution to cover invoiced retrofit costs
 - Characteristics to describe newly installed equipment
 - Characteristics to describe old & replaced equipment

BETTER BUILDINGS INFORMATION SYSTEM

The Better Buildings Information System (BBIS) will provide a web-based platform for submitting and viewing grantee building retrofit and related information. Instructions for accessing the BBIS and uploading monthly and quarterly retrofit reports will be provided to all recipients by DOE.

DISPOSITION OF HISTORIC PRESERVATION CONSULTATIONS BY CATEGORY REPORT

The report shall cover the reporting period from September 1st through August 31st. For the period 9/1/09-8/31/10, reports shall be submitted no later than January 30, 2011. Hereafter, reports shall be submitted annually on September 1. Historic Preservation Reports shall be submitted to the Project Management Center (PMC). The Historic Preservation Reporting Form and Instructions (OMB Control Number 1910-5155) are attached.

Annual Inventory of Federally Owned Property

Requirement. If at any time during the award the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the recipient must submit an annual inventory of this property to the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th.

Content of Inventory. The inventory must include a description of the property, tag number, acquisition date, location of property, and acquisition cost, if purchased with project funds. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

**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 EECBG, WAP, or SEP activities? Yes ____ No ____

1d. 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 ____

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 affecting historic properties pending compliance with Section 106.

Public reporting burden for this collection of information is estimated to average 2 hrs per response for WAP recipients, 4 hours per response for SEP recipients and 2 hrs per response for EECBG recipients,

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including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of the Chief Information Officer, Records Management Division, IM-11, Paperwork Reduction Project (1910-5155), U.S. Department of Energy, 1000 Independence Ave SW, Washington, DC, 20585-1290; and to the Office of Management and Budget (OMB), OIRA, Paperwork Reduction Project (1910-5155), Washington, DC 20503.

Historic Preservation Report Instructions**Line Item Instructions for the Historic Preservation Report**

Item #	Reporting Item	Instructions
	Historic Preservation Reporting Period	Recipients must report to DOE through the PAGE system annually no later than 9/15. The annual reporting period is 8/31 through 9/1.
	Grant Number	The grant number begins with four letters followed by 7 numerical digits (e.g. ...DE-EE0000000)
1a	State where recipient is located	Enter State abbreviation from SF424
1b	Name of Recipient	Enter Grantee Legal Name from SF424
1c	Utilization of U.S. DOE executed Historic Preservation Programmatic Agreement (PA)	A Programmatic Agreement (PA) is an agreement covering the recipients in the State identified in question 1(a) and which is executed between the United States Department of Energy, the State Agency Recipient(s) receiving financial assistance from U.S. DOE for EECBG, WAP, and SEP and the State Historic Preservation Office.
1d	Activities for which a PA was not utilized to meet the requirements of the National Historic Preservation Act.	The term "activities" as used in this report refers to the individual undertakings that comprise a project funded in whole or in part by U.S.DOE through EECBG, WAP or SEP.
1e	Total number of activities being undertaken with DOE funds	User entry is required and it must be numeric. (see also, definition of "activities" above)
2a	Activities exempt from further historic preservation review under the PA due to property age	User entry is required and it must be numeric.
2b	Activities exempt from further historic preservation review per the PA list of exempt activities.	The PA should identify in a list or Appendix those activities that are exempt from further historic preservation review. User entry is required and it must be numeric.

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2c	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).	User entry is required and it must be numeric. (Note that the PA executed in your state may not have this exemption)
3	Activities not identified as exempt from further review under questions 2a, 2b, 2c, or 2d.	If activities are not exempt from further review under at least one of the categories identified in questions 2a, b, c or d, then the Recipient is required to conduct a historic preservation review in accordance with the remaining Stipulations in the PA.
3a	Number of Section 106 reviews completed under the PA.	User entry is required and it must be numeric.