Questions and Answers for the Smart Grid Investment Grant Program

Reporting Webinar Questions and Answers

April 7, 2010

Reporting Webinar
Questions and Answers

Deadlines

1. **Question:** If an agreement has an effective date on or before March 30, when is the first reporting deadline for DOE reporting?

   Answer: For awards with an effective date prior to April 1, the first DOE reporting deadline is April 14, 2010. Your TPO should provide you, within five business days of award, and one-page sheet showing you when agreement deliverables are due and another one-pager showing when your first reports are due. See Appendix A for a matrix of Reporting Due Dates.

2. **Question:** Will DOE contract specialists have the authority to provide reporting requirements/deadline extensions?

   Answer: Only the DOE Contracting Officer has the authority to adjust the delivery dates for DOE deliverables. DOE does not have the authority to adjust the due dates of ARRA reporting.

3. **Question:** On the webinar, DOE staff stated that awards signed in March need to report by April 10th. However, the SGIG Corporate Reporting Guidance, dated March 5, 2010, stated: "The first reporting period shall be the first full calendar month following the date the award agreement is signed by both the Recipient and DOE." Can DOE reconcile these two statements?

   Answer: The Corporate Reporting Guidance refers to those requirements that are in addition to ARRA and are imposed by DOE. Please see the answer to Question 1 and Appendix A for more information on reporting deadlines.

4. **Question:** Please clarify what the jobs reporting requirements are with respect to vendors. Should recipients include vendor hours worked in their jobs reports for ARRA or DOE reporting purposes?

   Answer: Vendor hours should only be counted for ARRA reporting and DOE jobs reporting if they are Direct Jobs Created/Retained, as defined in the OMB Guidance dated December 19, 2009 as one created or retained as a consequence of the Recovery Act.

Jobs

5. **Question:** Does the definition of indirect jobs created need to match (or be consistent with) the classification of indirect costs and rates?

   Answer: Indirect jobs are a separate issue from the classification of indirect costs and rates. The term "indirect jobs" is defined by OMB for use in Recovery Act reporting as those such as materials suppliers and central service providers.

6. **Question:** Is there still a requirement to submit the jobs information to DOE on a monthly basis?

   Answer: The requirement is to submit jobs information quarterly.

7. **Question:** Could you clarify the definition of "Direct Jobs" as used for DOE job reporting data? Is this definition consistent with the ARRA definition used for job reporting?

   Answer: For ARRA, a direct job is a new position created and filled, or an existing unfilled position that is filled, that is funded by federal dollars under the Recovery Act; a direct job retained is an existing position that is now funded by federal dollars under the Recovery Act. The only difference with DOE's definition is that DOE's definition includes jobs for the total project cost rather than just the federal portion, that is, the DOE jobs reporting should include jobs created or retained that were funded with a recipient's cost share.

8. **Question:** Regarding direct and indirect jobs, can you distinguish between a vendor and a subcontractor?

   Answer: The focus of determining whether to report vendor or sub-contractor hours should be on whether or not the job is direct or indirect, rather than if it is a vendor or a sub-contractor. For ARRA, a direct job is a new position created and filled, or an existing unfilled position that is filled, that is funded by federal dollars under the Recovery Act; a direct job retained is an existing position that is now funded by federal dollars under the Recovery Act. The only difference with DOE's definition is that DOE's definition includes jobs for the total project cost rather than just the federal portion, that is, the DOE jobs reporting should include jobs created or retained that were funded with a recipient's cost share. Indirect jobs are those such as materials suppliers and central service providers (so-called "indirect" jobs) or on the local community ("induced" jobs).

9. **Question:** Will the first monthly report include any jobs PVMS and other reporting information back to August 6th?

   Answer: If a recipient invoices or plans to invoice DOE for pre-award costs that funded direct jobs for the recipient's project, a recipient should report jobs PVMS and other reporting information back to the date such pre-award costs were incurred.

Project Execution Plan

10. **Question:** Can you confirm that the PEP is due 30 days after execution of the award and not upon signing of the award?

    Answer: The draft PEP is due 30 days after the effective date of the award stated on the Assistance Agreement Face Page and in Clause 2 of the Assistance Agreement.

11. **Question:** In our PEP is a narrative portion needed with the chart or just the risk chart by itself?

    Answer: A completed risk chart as outlined in the Assistance Agreement is sufficient to comply with this deliverable requirement.

Method of Submission for DOE Reporting

12. **Question:** Regarding DOE jobs calculation, how do recipients actually access the spreadsheet? Is it a matter of logging into SIPRIS and then there is a link to the spreadsheet?

    Answer: SIPRIS (The SGIG project reporting system) will have a link to both a blank spreadsheet initialized with the Recipient's information and a sample spreadsheet. Alternatively, the Technical Project Officers can provide the Recipients both spreadsheets. Please contact the SIPRIS Technical Support Help Desk at 202-251-4181 or via email at siprishelpdesk@hq.doe.gov if you have questions.

13. **Question:** Where is the Rules of Behavior form located at? How do we get the form and who do we send it to?

    Answer: The Rules and Behavior form that is required in order to gain access to SIPRIS will be transmitted to those users whose names have been submitted to the TPO by the award's point of contact. The Recipient may transmit the signed version of the Rules and Behavior form by emailing a scanned image to siprishelpdesk@hq.doe.gov or via fax to 202-586-5860.

14. **Question:** If SIPRIS is not available until 4/12, how do we report by 4/10?

    Answer: The 4/10 deadline is for ARRA reporting on FederalReporting.gov and is a separate reporting requirement from the DOE reporting that is provided via SIPRIS.

15. **Question:** For SIPRS registration: to whom do we forward the username and password for each user?

    Answer: To gain access to SIPRIS, you will need to submit to your TPO a single, consolidated list of individuals authorized on behalf of the awardee to be granted access to SIPRIS. The SIPRIS technical team will transmit to those users the rules of behavior and a registration form. The user sends back the rules of behavior and fills out the on-line registration form. The system will transmit to each user their username and password.

16. **Question:** Can we add to the list later in the project?

    Answer: If the question is referencing the access list for SIPRIS, yes, it will be possible to add, modify, or remove access later in the project.

17. **Question:** Can Sub-Recipients register and report at SIPRIS or just prime?

    Answer: The Prime Recipient is responsible for registering and reporting on SIPRIS. The sub-recipient should provide any data necessary for reporting compliance to their Prime.

18. **Question:** Will the TPO load the initial project baseline in SIPRIS?

    Answer: Yes; the initial baseline data will be pulled from your Project's final approved PEP and loaded in SIPRIS by DOE.

19. **Question:** What format (MS Project, etc.) should we use to submit our projects?

    Answer: The PEP deliverable should be provided in the format found in Clause 30.B of the award agreement. The required monthly reporting of PVMS data can be provided in one of two ways: either by direct input into SIPRIS or by upload of an Excel spreadsheet to SIPRIS.

20. **Question:** Where do we see the screens where Build Metrics and Impact Metrics are reported?

    Answer: Information on reporting Build Metrics and Impact Metrics will be provided as it becomes available.

21. **Question:** How do we submit to the data hub if its not ready yet?

    Answer: DOE intends to have the data hub ready prior to the reporting deadline.

Compliance

22. **Question:** What happens if we fail to report in April?

    Answer: For those who fail to report to federalreporting.gov by the April 10 deadline, your project's name will be listed as an official non-report for the performance period. Two successive non-reports could result in OMB removing funds for the project.

    For DOE reporting, the Contracting Officer will communicate to delinquent awardees potential corrective actions as per the Contracting Officer's authority under Financial Assistance Regulations. The Contracting Officer will make the final determination as to any actions to be taken for failure to comply with DOE reporting requirements.

SGIG and Smart Grid Demonstration Grants

23. **Question:** What are the reporting requirements for Smart Grid Demonstration Project (SGDP) grants? What are the differences between those requirements and the SGIG grants?

    Answer: Although the reporting requirements for SGIG and SGDP will be very similar, e.g., ARRA reporting, Build and Impact Metrics, there will be a few minor differences, e.g., process for submitting. NETL, the awarding office for the SGDP projects, is finalizing the reporting requirements and expects to provide the SGDP Recipients with a comprehensive description of the SGDP reporting requirements in the near future. SGDP Recipients are encouraged to work with their NETL Project Officer and Contract Specialist regarding any specific questions.

<u>Appendix A</u>: Smart Grid Investment Grant Recipient Reporting Due Dates

PLEASE NOTE: This schedule only applies to those SGIG grantees who DID NOT receive a signed award on 12/24/09

Reporting Requirements	Frequency	Submission Deadline	Trigger	Trigger date:	Due date:	Requirement Source	Submit materials to:
Progress Report	Monthly*	10 business days after end of calendar month.	Award signed by CO	3/3/10	4/14/10	SGIG Assistance Agreement, Attachment B, Clause A, P. 4	http://www.smartgrid.gov/teams/home
PVMS data ^	Monthly*	10 business days after end of calendar month.	Award signed by CO	3/3/10	4/14/10	SGIG Assistance Agreement, Attachment B, Clause A.10, p. 5	http://www.smartgrid.gov/teams/home
Risk Management Data Update^	Monthly*	10 business days after end of calendar month.	Award signed by CO	3/3/10	4/14/10	SGIG Assistance Agreement, Attachment B, Clause A.10, p. 5	http://www.smartgrid.gov/teams/home
Federal Reporting.gov	Quarterly	10 calendar days after end of calendar quarter.	Award signed by CO	3/3/10	4/10/10	SGIG Assistance Agreement Ts&Cs, Clause 20, p.6	http://www.smartgrid.gov/teams/home
DOE Jobs Reporting	Quarterly	10 business days after end of calendar quarter.	Award signed by CO	3/3/10	4/14/10	Assistance Agreement, Attachment B, Clause A.5.a, FAR Checklist	http://www.smartgrid.gov/teams/home
SF-425 Federal Financial Report	Quarterly	30 calendar days after end of calendar quarter.	Award signed by CO	3/3/10	4/30/10	SGIG Agreement, Attachment B, Clause C, p. 9	TPO
Inventory of Federally owned property (if any)	Annual	October 30th of each calendar year.	Award signed by CO	3/3/10	10/30/10	Assistance Agreement, Attachment B, Clause E, p.10	TPO
Indirect Cost Proposal and Reconciliation	Annual	6 calendar months after close of fiscal year.	Award signed by CO	3/3/10	3/31/11	Assistance Agreement, Attachment B, Clause E, p.10	TPO
Build Metrics	Quarterly	30 calendar days after end of calendar quarter.	TPO Approval of Metrics & Benefits Plan	3/3/10	4/30/10	Assistance Agreement, Attachment B, Clause A.5.b, FAR Checklist	http://www.smartgrid.gov/teams/home
Impact Metrics and Benefits	Semi-Annually	180 calendar days after final Metrics & Benefits Plan approved.	TPO Approval of Metrics & Benefits Plan	6/17/10	12/17/10	Assistance Agreement, Attachment B, Clause A.5.b, FAR Checklist	http://www.smartgrid.gov/teams/home
Interim Consumer Behavior Study Evaluation Report	One-time	360 calendar days from start of Consumer Behavior Study.	NA	TBD	TBD	Assistance Agreement, Attachment B, Clause A.5.c, FAR Checklist	http://www.smartgrid.gov/teams/home
Final Consumer Behavior Study Evaluation Report	One-time	Upon completion of Consumer Behavior Study.	NA	TBD	TBD	Assistance Agreement, Attachment B, Clause A.5.c, FAR Checklist	http://www.smartgrid.gov/teams/home

* For the first six months of this award the Recipient must report this data monthly. After six months the reporting frequency will be quarterly unless the Office of Management and Budget authorizes continued monthly reporting.

^ Awardees without approved PEPs are still required to report via smartgrid.gov and will indicate that PEP is undergoing review, so submission of actual data will not be required.