



Department of Energy
Washington, DC 20585

EECBG PROGRAM NOTICE 10-020
EFFECTIVE DATE: December 21, 2010

SUBJECT: GUIDANCE FOR ENERGY EFFICIENCY AND CONSERVATION BLOCK GRANT RECIPIENTS ON CLOSEOUT PROCEDURES.

PURPOSE

To provide an overview to Department of Energy's (DOE) Energy Efficiency and Conservation Block Grant (EECBG) Program Grantees on procedures for closeout of grant awards.

SCOPE

The provisions of this guidance apply to Grantees of EECBG funds, pursuant to Formula Grants and the American Recovery and Reinvestment Act of 2009 (Recovery Act).

LEGAL AUTHORITY

Title V, Subtitle E of the Energy Independence and Security Act of 2007, as amended, authorizes DOE to administer the EECBG Program. All awards made under this Program shall comply with applicable law, including the Recovery Act, and other procedures applicable to this program.

GUIDANCE

This guidance provides Grantees with the basic procedural components related to closing out EECBG awards once a Grantee completes all required work relating to the grant. The project period for EECBG awards is set forth in the special terms and conditions of the financial assistance award. Only in extraordinary circumstances will DOE extend the period of availability of funds. The DOE field offices will be able to provide additional details to a Grantee regarding the closeout procedure, but this guidance is intended to provide a broad overview of the Grantees' responsibilities when seeking acceptance to close out their awards.

Regulatory Background

Under the DOE Financial Assistance Rules applicable to State, local, and Tribal governments receiving federal grants, DOE will close out an award upon a determination that all applicable administrative actions and all required work of the grant has been completed (10 C.F.R. § 600.250(a)).

Initiation of Closeout Process: The Grantee will initiate the closeout process by indicating that all activities are “Complete” and by selecting the “Final Report” checkbox in the quarterly Performance and Accountability for Grants in Energy (PAGE) report, indicating that the Grantee has submitted its final SF-425, Federal Financial Report and its final Quarter Performance Report. The DOE Project Officer will review both reports for completeness and reasonableness, approving both reports and starting the close out process.

Within 90 days after the expiration or termination of the grant, a Grantee must submit all financial, performance, and other reports required as a condition of the grant. These may include, but are not limited to, the following:

- (1) Financial Assistance Property Closeout Certificate. Grantees must submit an inventory of all federally-owned property and any property acquired with Federal funds for which it is accountable and request disposition instructions from DOE for property that is no longer needed;
- (2) Final Request for Payment (SF-270), or final drawdown of funds through ASAP, as applicable;
- (3) ARRA-Performance Progress Report (the quarterly ARRA reports to Federalreporting.gov); and
- (4) All EECBG Annual Reports (a roll up of previously submitted reports)

DOE will, within 90 days of receipt of these reports, make upward or downward adjustments to the allowable costs. DOE will also make prompt payment to a Grantee for allowable reimbursable costs. The Grantee must immediately refund to DOE the balance of any unobligated (unencumbered) cash advanced that is unauthorized to be retained for use on other grants. (10 C.F.R. § 600.250(c)-(d)).

The EECBG Award Closeout Process

DOE’s closeout process for EECBG awards is intended to conform to the DOE Financial Assistance Rules and accommodate the unique nature of the Program. This section provides a description of the EECBG closeout process in general, with the specific responsibilities and obligations of agency personnel and Grantees.

Closeout Package: Upon close out initiation, a DOE Contract Officer or delegate will transmit via e-mail a closeout package to the Grantee, indicating that performance of EECBG projects have been completed. The closeout package will contain the following: (1) a cover letter indicating the necessary required information and action items, (2) an EECBG Property Certificate, and (3) other documents or forms determined by DOE contracting staff to be applicable to the grant. All forms contained therein must be completed within 90 days of the expiration or termination of the grant.

As appropriate, DOE will request from the Grantee required financial information pertaining to the award. In particular, the DOE may request a copy of the Grantee's final voucher/summary settlement statement or financial report describing all Grantee expenditures by fiscal year and budget category.

Detailed guidance related to transfer of patents is beyond the scope of this document. Grantees that have a concern regarding patent issues should discuss the matter with their Project Officer on a case-by-case basis.

Resolution of Issues: The above forms must be returned to the DOE within 90 days of the receipt of the closeout package, at which point the DOE and Grantee will resolve any outstanding issues. If a Grantee has been determined to be "high-risk," has an award exceeding \$1 million, or presents other causes for concern, DOE may schedule a monitoring visit if deemed necessary prior to closing out an EECBG award.

CONCLUSION

The DOE Financial Assistance Rules set forth the framework for the agency's implementation of closing out of all financial assistance awards. DOE's closeout procedures for EECBG awards will conform to those principles and the unique nature of the Program. As Grantees begin to consider closeout procedures for their respective awards, please review this guidance and consult with your Project Officer if you have any questions.



LeAnn Oliver
Program Manager
Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy