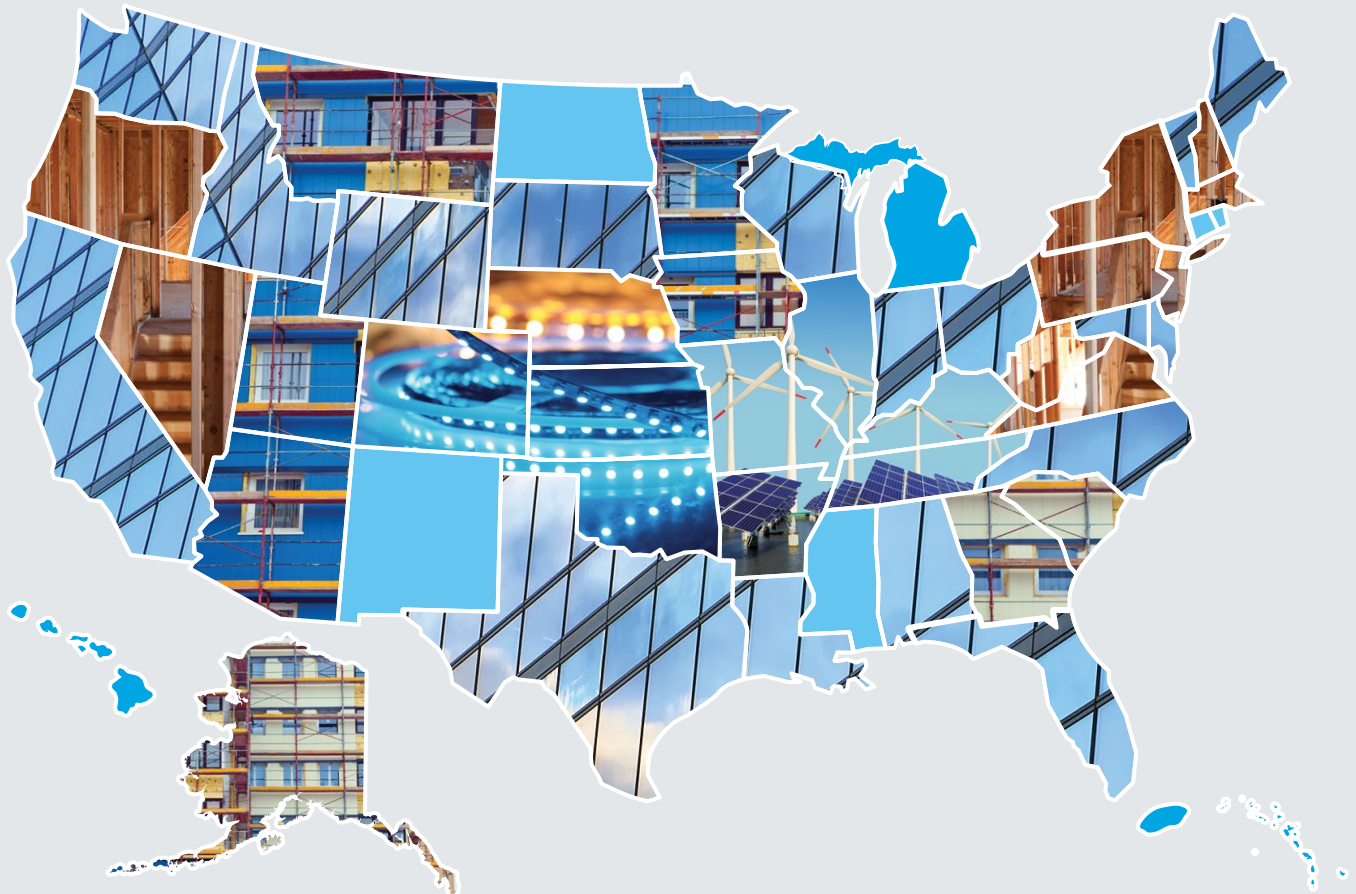




# STATE ENERGY PROGRAM

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## Operations Manual



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## Introduction

The U.S. Department of Energy’s (DOE) [Weatherization and Intergovernmental Program Office](#) (WIPO) partners with state and local organizations to significantly accelerate the deployment of energy efficiency and renewable energy technologies and practices by a wide range of government, community, and business stakeholders. WIPO is made up of the State Energy Program, the Weatherization Assistance Program and a team of Policy and Technical Assistance experts that provide resources for clean energy solutions for states, local governments, industry partners, and K-12 school district leaders.

Over the last 30 years, DOE’s [State Energy Program](#) (SEP) has provided funding and technical assistance to states, U.S. territories and the District of Columbia. State Energy Offices use SEP funds to develop state plans that advance energy solutions through regional networks, strategic energy planning, executive orders, legislation and local ordinances, management of local retrofits and land-use plans.

*For more information, please see the SEP Fact Sheet in Appendix A.*

## Using the Manual

### Intended Use

The SEP Operations Manual is a reference tool for the SEP network states and program officials within DOE. “States,” when referred to in the Manual, include the 50 states, the District of Columbia, and the U.S. territories: American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Puerto Rico, and the U.S. Virgin Islands. This Manual contains information needed to administer the State Energy Program.

### Terms

<b>Annual Formula Grant Application</b>	Component of the State Plan that is filed annually and lays out the state’s scope of work and budget for the program year.
<b>Federal Fiscal Year (FY)</b>	The federal fiscal year begins October 1 and ends September 30.
<b>Master File</b>	Component of the State Plan filed with first-year applications and updated annually as needed. The Master File defines the state’s overall energy efficiency and renewable energy goals and the activities undertaken to achieve those goals.
<b>Program Year (PY)</b>	Each state selects a 12-month program period or program year that usually corresponds with the state’s fiscal year. Although the state’s program year may start during the federal fiscal year, it can extend beyond the federal fiscal year.
<b>State Energy Office</b>	The state office designated by the Governor to receive SEP grant funds.
<b>State Plan</b>	The State Plan comprises all components of a state’s State Energy Program for DOE, including the states’ annual Formula Grant Application, budget information, and its Master and Annual Files.
<b>Sub-recipients</b>	Entities that receive SEP funds from a state (i.e. contractors, vendors).

## Acronyms

<b>ARRA</b>	American Recovery and Reinvestment Act of 2009
<b>ALRD</b>	Administrative and Legal Requirements Document
<b>ASAP</b>	Automated Standard Application for Payment
<b>ASHRAE</b>	American Society of Heating, Refrigeration, and Air-Conditioning Engineers
<b>CFR</b>	Code of Federal Regulations
<b>DOE</b>	U.S. Department of Energy
<b>EERE</b>	DOE's Office of Energy Efficiency and Renewable Energy
<b>EES</b>	Energy Extension Service
<b>EIA</b>	Energy Information Administration
<b>EPAct</b>	The Energy Policy Act of 2005
<b>FOA</b>	Funding Opportunity Announcement
<b>FFR</b>	Federal Financial Report (also called a FSR – Financial Status Report)
<b>FY</b>	Fiscal Year
<b>GO</b>	Golden Field Office
<b>ICP</b>	Institutional Conservation Program
<b>IESNA</b>	Illuminating Engineering Society of North America
<b>NASEO</b>	National Association of State Energy Officials
<b>NCSL</b>	National Conference of State Legislatures
<b>NEPA</b>	National Environmental Policy Act
<b>NGA</b>	National Governors Association
<b>OMB</b>	Office of Management and Budget
<b>PAGE</b>	Performance and Accountability for Grants in Energy
<b>PO</b>	DOE Project Officer
<b>PVE</b>	Petroleum Violation Escrow (Funds)
<b>PY</b>	Program Year
<b>QPR</b>	Quarterly Project Report (also called a PSR or Project Status Report)
<b>REEOs</b>	Regional Energy Efficiency Organizations
<b>SEO</b>	State Energy Office
<b>SEP</b>	State Energy Program
<b>SF</b>	Standard Form
<b>WAP</b>	Weatherization Assistance Program for Low-Income Persons
<b>WIPO</b>	Weatherization and Intergovernmental Programs Office

# Chapter ONE

## State Energy Program Review

### Introduction

The U.S. Department of Energy (DOE), through its [State Energy Program](#) (SEP), works in partnership with state government officials and policy makers to advance a clean energy future, as states have authority for many of the policy and program decisions that govern clean energy investment levels, as well as the opportunity to experiment with new approaches for overcoming long-standing market barriers.

The overarching goal of SEP is to transform markets for energy efficiency and renewable energy technologies through policies, strategies, and public-private partnerships that facilitate their adoption and implementation.

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### Program Description

SEP provides federal financial assistance and technical support to the states. Financial assistance comes in the form of annual Formula grants and Competitive awards.

SEP is a versatile, dynamic program. It fulfills a national mission while meeting regional, state, and local needs. Federal laws and regulations establish the program's purpose, set criteria for participation, and define how funds may or may not be used. Each state can propose how it would use its share of funds to address these criteria along with its own specific conditions. See Figure 1-2 SEP Funding and Results Diagram on page 9.

States are responsible for planning and implementing program activities. DOE program officials review each State Plan to verify that the state meets program requirements. A State Plan comprises the annual Grant Application and Master File.

DOE officials at Headquarters and the Golden Field Office (GFO) in Colorado enact policy guidance, provide technical assistance, and monitor state grant program progress and compliance.

1. States must comply with DOE and other federal regulations and procedures governing financial awards. The key documents that govern state grant administration include:
2. For awards made on or before December 26, 2014, see:
  - a. [10 CFR Part 600](#) in the Code of Federal Regulations (CFR).
  - b. DOE Financial Assistance Rules in chapter 10 of the CFR ([10 CFR Part 600](#), Subparts A, B, C, E, and F).
  - c. Office of Management and Budget (OMB) Circulars, [2 CFR Part 220](#) (formerly A-21), [2 CFR 200 Part 225](#) (formerly A-87), [2 CFR 230](#) (formerly A-122), A-110, and A-133.
3. For awards made after December 26, 2014, see:
  - a. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, [2 CFR Part 200](#) as amended by [2 CFR Part 910](#).

## Program Origins and History

The State Energy Program originated as the State Energy Conservation Program (SECP), established during the energy crisis of the early 1970s. The energy crisis resulted in a national increase in awareness of America's dependence on foreign oil. Congress responded to this mounting public concern with new legislation. New laws established a broad range of conservation programs and promoted new, more efficient sources of energy. The U.S. Department of Energy was created to lead and administer these new programs.

Several pieces of legislation catalyzed the growth of SECP. The Energy Policy and Conservation Act of 1975 ([Public Law 94-163](#)), a cornerstone of federal energy conservation legislation, established programs to foster conservation in federal buildings and major industries throughout the states.

In 1983, the Warner Amendment ([P.L. 95-105](#)) increased funding for SECP via [Petroleum Violation Escrow](#) (PVE) funds, refunds collected from oil companies by the federal government for violations of oil price and allocation controls in the 1970s. The increased SECP funding stimulated energy efficiency policy at the state level. As a result, state and federal program officials began to collaborate on designing and implementing energy conservation programs.

*See PVE Funds At-A-Glance and Funding Overview in Appendix B.*

As a consequence of the Exxon and Stripper Well settlements in 1984 and 1986, over \$4 billion in additional overcharge refunds—including interest earned while they were in escrow—began flowing into energy conservation programs nationwide. State governments allocated a significant portion of this money to SECP. Additional distributions again allowed states to create new energy programs and activities.

As a result of the funding infusions in the 1980s, SECP's portfolio of energy-saving strategies and program measures grew and evolved in complexity. A host of information, education, and technology demonstration activities were added to the mandatory activities as defined in the regulations (e.g., right on red legislation) to meet the needs of various consumer groups.

The Energy Policy Act (EPAcT) of 1992 ([Public Law 102-486](#), Subtitle E - State and Local Assistance) amended the SECP by giving the Secretary of Energy greater authority to fund state energy projects. The legislation permitted the Secretary to finance state-level revolving funds for energy efficiency improvements in state and local government buildings and energy efficiency training for building designers and contractors. Funding, however, was not appropriated for these activities. Section 143 of EPAcT repealed the former Energy Extension Service Program. The program's outreach activities, however, were in many cases, continued under the SEP.

State-based energy conservation and efficiency programs were propelled forward by passage of an important energy bill, the State Energy Efficiency Programs Improvement Act ([Public Law 101-440](#)) and the reorganization of DOE's Office of Energy Efficiency and Renewable Energy (EERE) in the early 1990's.

The State Energy Efficiency Programs Improvement Act encouraged states to promote energy efficiency and alternative energy and venture into energy technology commercialization services programs. The Act required extensive public and private collaboration to achieve greater energy saving, and it gave DOE substantial responsibility for achieving this goal.

In 1996, DOE's State Energy Program was established by consolidating the SECP and the Institutional Conservation Program (ICP). The SECP provided state funding for a variety of energy efficiency and renewable energy activities. The ICP provided schools and hospitals with a technical analysis of their buildings and installed conservation retrofits based on those analyses. Benefits of the programs merger include greater flexibility in funding mechanisms, increased local decision making, and streamlined administrative procedures. The Regional Support Offices that existed and managed the SEP from the late 1970's until mid-1990's had multiple

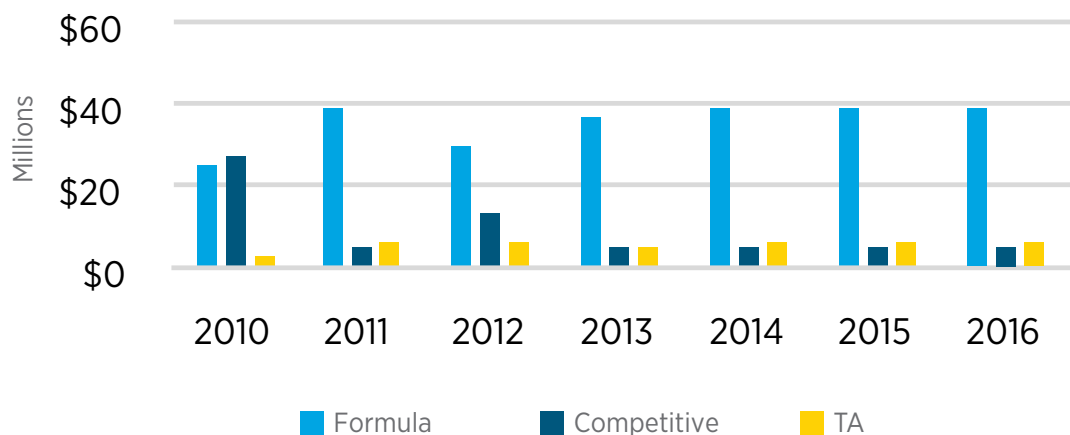
responsibilities: providing guidance; reviewing and approving annual Grant Applications, Master Files, and amendments; awarding grants; and monitoring SEP performance.

In 2009, Congress passed and President Obama signed into law the American Reinvestment and Recovery Act (ARRA). Approximately \$3.1 billion in ARRA funds was appropriated to SEP and further allocated to the states. Additional information about ARRA and SEP's accomplishments during this period can be found at the end of this chapter.

Today, the SEP is managed by the Weatherization and Intergovernmental Programs Office within EERE.

## Program Funding

The SEP is funded through several sources, including congressional appropriations, state matching funds, PVE funds, and income generated by SEP activities (see Figure 1-1). Congress appropriates funds annually to support program activities, which includes funding for Formula grants, Competitive awards, and technical assistance.



*Chart does not include allocations from the American Recovery and Reinvestment Act.*

**Figure 1-1. SEP Funding History (2010-2016)**

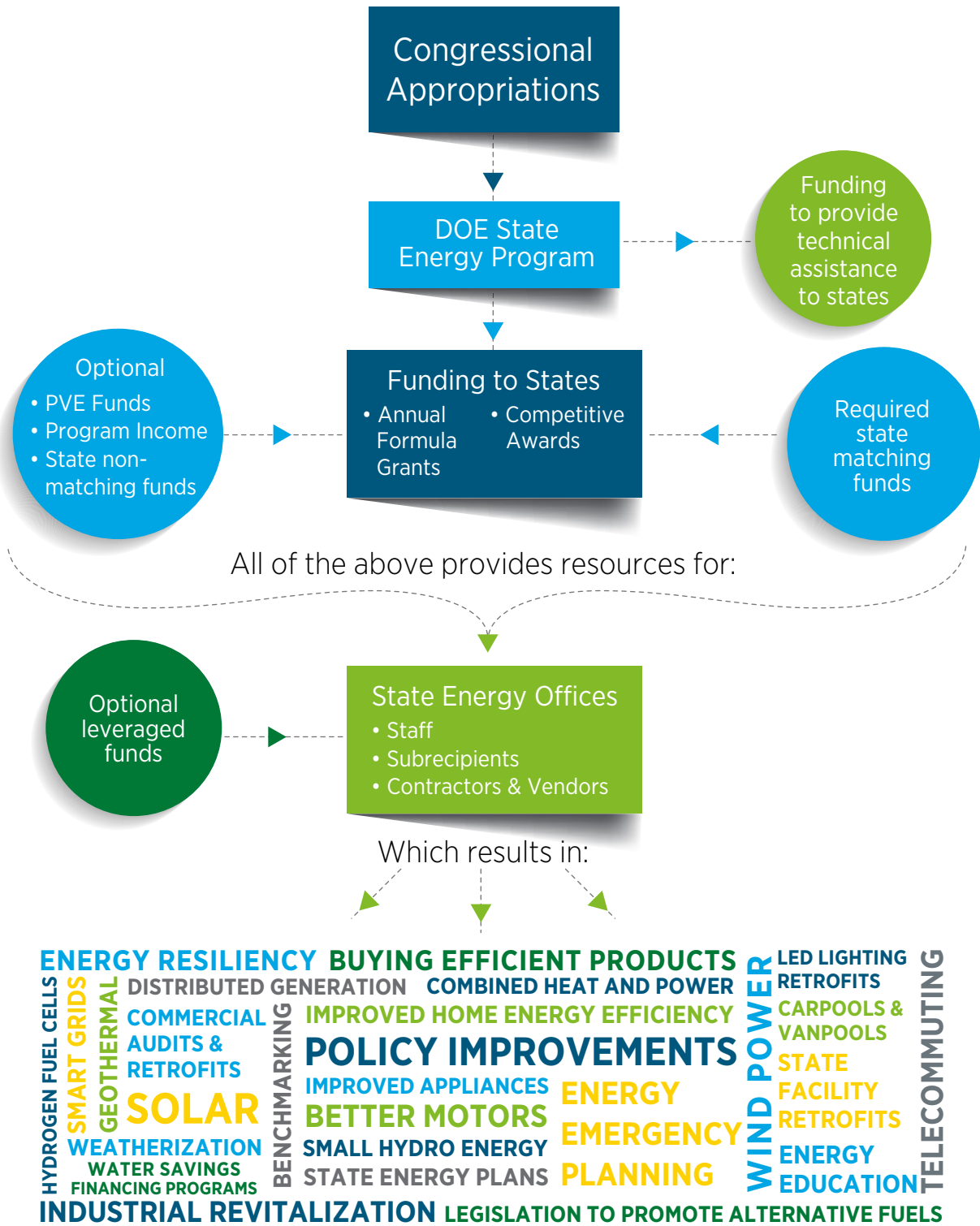
## Formula Funding

The total, annual formula funds available to the program are allocated to states according to the following formula as written in the program's regulations:

1. If the available funds equal \$25.5 million, such funds shall be allocated to the states according to Table 1 found in [10 CFR 420.11](#).
2. If the available funds for any fiscal year are less than \$25.5 million, then the base allocation for each state shall be reduced proportionally.
3. If the available funds exceed \$25.5 million, \$25.5 million shall be allocated as specified in [10 CFR 410.11](#) and any in excess of \$25.5 million shall be allocated as follows:
  - One-third of the available funds is divided among the states equally;
  - One-third of the available funds is divided on the basis of the population of the participating states as contained in the most recent reliable census data available from the Bureau of Census, Department of Commerce, for all participating states at the time DOE needs to compute state formula shares; and
  - One-third of the available funds is divided on the basis of the energy consumption of the participant or participating states as contained in the most recent State Energy Data Report available.



Figure 1-2. SEP Funding and Results Diagram



## State Match

SEP Formula grant regulations require that states contribute a match for SEP activities (cash, in-kind, or both) in an amount totaling not less than 20% of the appropriated funds awarded to the state. Matching requirements for federal grants are:

1. Allowable costs incurred by the grantee, sub-recipient, or cost-type contractor under the assistance agreement. This includes costs borne by non-Federal grants.
2. Third-party in-kind contributions.
3. Verifiable from the recipient's records.
4. Not included as contributions for any other Federally-assisted project or program.
5. Necessary and reasonable for proper and efficient accomplishment of project or program objectives.
6. Allowable under the applicable cost principles.
7. No funds from the Federal grant or paid by the Federal Government under another award, except where authorized by Federal regulations, to be used for matching.
8. Provided for in the approved budget.

For states' matching contributions, see [10 CFR 420.12](#). For a definition of matching see [10 CFR 600.224](#) or [10 CFR 200.306](#)

*Note that U.S. Territories are exempt from state matching requirements under 48 U.S.C. 1469 a.*

Income earned from SEP activities may be used for matching if the award agreement expressly permits this use. Federal regulations [10 CFR 600.224](#) or [2 CFR 200.306](#) detail the requirements concerning valuation of in-kind services and record keeping on costs and contributions toward matching requirements.

See [10 CFR 600.123](#), [10 CFR 420.12](#), and [10 CFR 420.18](#) for more information on cost matching.

## Petroleum Violation Escrow (PVE) Funds

PVE, or oil-overcharge funds, described under [Program Origins](#) and in [Appendix B](#), support a variety of energy-related programs in the states. Each state determines how it wishes to allocate the funds across eligible programs. States may use these funds and the interest earned for SEP eligible activities, and other eligible uses, as described in [Appendix B](#). States may use some PVE funds outside of their SEP grants, while some PVE funds must be used within their grants.

### PVE funds used within the state's annual Formula SEP grant

When used within the scope and budget of a state's SEP grant, PVE funds are subject to SEP grant and program requirements (see [Program Description](#) above). A state or other non-federal match is not required for PVE funds used within an SEP grant. PVE funds are not subject to the 20% limitation on equipment purchases under the program.

### PVE funds used outside the state's annual Formula SEP grant

When a state opts to use PVE funds outside of its SEP grant, the state should carefully review Appendix B, and send a brief proposal to the email address designated for SEP PVE use ([SEP-PVE@ee.doe.gov](mailto:SEP-PVE@ee.doe.gov)), 30 days in advance of intended use. The proposal must include a description of the proposed activity and how it meets the requirements for that type of PVE funding, along with a budget, the target audience, and time period for the program. The proposal must clearly show the energy focus on the proposed activity. Whether a state's PVE funds are being expended or not, required Annual PVE reports should also be sent to the designated SEP PVE email address within 30 days of the end of the state's fiscal year.

*Note: Several states have utilized all PVE funds. As such, this section may not be applicable.*

**See PVE Funds At-A-Glance and Funding Overview in Appendix B.**

See [10 CFR Part 600.225\[b\]](#) or [2 CFR Part 200.80](#).

## Program Income

DOE encourages states to earn income in connection with SEP activities to defray program costs. States must include an estimated amount of earned income in the budget portion of the Grant Application and in the Master File. Program income is defined in federal regulations as gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award. Program income includes but is not limited to:

- Income from fees for services performed.
- The use or rental of real or personal property acquired under federally-funded projects.
- The sale of commodities or items fabricated under an award.
- License fees and royalties on patents and copyrights.
- Payments of principal and interest on loans made with grant funds.



See *Definitions in [10 CFR 600.101](#) or Acronyms and Definitions in [2 CFR 200 Subpart A](#).*

Except as otherwise provided in [2 CFR 200](#), program regulations, or the terms and conditions of the award, program income does not include the receipt of principal on loans, rebates, credits, discounts, etc., or interest earned on any of them. Interest earned through loan fund programs generated by grant-supported activities is treated as program income.

Program regulations govern all funds assigned to SEP activity use. Appropriated funds, PVE funds, program income, and any state match or non-match must all be listed in the budget portion of the Grant Application. All funds must then be spent on the activities described in the Grant Application and addressed in the financial and performance reports required under the grant. The terms and conditions of the program's federal grant will specify whether program income may be used for cost sharing.

## Grant Extension Policy

For Formula grants, states may submit in writing an extension request to DOE no later than 30 days prior to the end of the grant's expiration. Extensions to existing awards will not be authorized except in cases of extraordinary circumstances. It is DOE's expectation that states will spend out their entire DOE award by the end of the 3rd year. However, DOE will consider extension requests for extraordinary circumstances. Extraordinary circumstances include the loss of personnel for an extended period of time where a significant portion of the budget goes to personnel; change in leadership resulting in a significant change in program plans that significantly delays spending; a

significant (over three months) freeze on spending; or a natural disaster. No more than one extension per award will be considered.

## Financing Programs

States are authorized to use funds for a variety of financing programs. Any returned principal and interest collected may be used to make additional loans or to fund the operations of such financing programs.

When DOE approves funds for an annual Formula Grant-funded revolving loan fund, for example, the state assumes responsibility for the stewardship, ultimate recapture of the principal, and any interest at the end of the approved life of the program.

States were authorized to establish a variety of financing programs with their ARRA funds. These programs included Revolving Loan Funds, Interest Rate Buydowns, Loan Loss Reserves, and Third Party Loan Insurance programs. Guidance and rules for these financing programs is provided in [SEP Program Notice 10-008D GUIDANCE FOR STATE ENERGY PROGRAMS GRANTEES ON FINANCING PROGRAMS](#), and in the terms and conditions of the state's annual Formula grant.

## Leveraging

“Leveraging” under SEP means the state may obtain additional program-targeted nonfederal cash or in-kind contributions that are a result of SEP-funded activities. Leveraged contributions may not include cash or in-kind contributions that have already been used to match a state's federal SEP grant (or any other federal grant), or that have been included in leveraged funds for other programs, nor may they include PVE funds, which are tracked separately. “Leveraging” under SEP should be limited to contributions that result from, and can be clearly attributed to, a state's SEP activities, and contributions that are used to augment those activities.

## Competitive Awards

SEP dedicates a portion of its funding each year to provide Competitive Awards to states to advance policies, programs, and market strategies that accelerate job creation and advance the clean energy economy. Under this initiative, states compete for funding designed to support DOE's nationally focused initiatives for the fundamental and permanent transformation of markets across all sectors of the economy.

SEP issues one Competitive Award Funding Opportunity Announcement (FOA) each year, and approximately one month prior to releasing the FOA releases a Notice of Intent describing in general terms the content and timeframe of the FOA.

From 1995 to 2005, DOE instituted the SEP Special Projects Program, which ranged from \$8 - \$18 million per year, and involved funding from EERE technology offices to provide competitive matching funds to the State Energy Offices. The SEP competitive awards was a follow-on program that does not include matching funds from the EERE technology offices.

In a typical year, SEP will choose “Areas of Interest” on which to focus the awards. States are invited to apply for any and each Area of Interest. Examples areas of interest from previous years include:

- State Energy Planning
- Innovative Opportunities for Energy Efficiency and Renewable Energy Practices
- Stimulating Energy Efficiency Action in States

- Public Facility Retrofits
- Supporting Leadership by Example in States

Competitive awards may have cost-matching requirements. These requirements are included in the project descriptions and criteria found in the SEP Competitive FOA. Funds used to meet cost-matching requirements must comply with [10 CFR Part 600.224](#) or [2 CFR Part 200.306](#) as explained under State Matching or Cost Sharing.

SEP has substantial involvement in work performed under SEP Competitive awards, not limited to the administrative requirements of the Agreement. SEP is involved in the direction and redirection of the technical aspects of the project as a whole, which includes and is not limited to, the following:

- SEP shares responsibility with the recipient for the management, control, direction, and performance of the project.
- SEP may intervene in the conduct or performance of work under this Agreement, which may include interruption or modification of the conduct or performance of project activities.
- SEP may provide technical assistance to help states and their partners achieve the goals of their project.
- SEP participates in major project decision-making processes.

### **Working with States to Replicate Innovation**

Providing financial assistance to states in focused areas through the competitive process allows DOE to learn from and replicate innovative policy approaches and programs that incentivize energy efficiency and renewable energy technology deployment at the state level.

DOE provides states with technical assistance and guidance in a collaborative effort to design and implement efficient and effective programs. In return, awardees share information with DOE and each other in a peer-to-peer facilitated dialogue about the challenges they encounter, how they overcome those challenges, and barriers to implementing effective programs.

This collaborative process allows both federal and state-level decision makers to learn and constantly improve the efficacy and impact of financial investment in energy programs.

See [10 CFR 420.30 – 10 CFR 420.37](#), *Implementation of Special Projects Financial Assistance regulations*.

For more information about SEP Competitive awards, visit the program's website at: <http://energy.gov/eere/wipo/state-energy-program-competitive-financial-assistance-program>

### **Prohibited Uses of SEP Funding**

The SEP is subject to regulations regarding the types of projects that can be implemented. Some projects are prohibited, depending on the source of funds. Other regulations limit the amount of money that can be spent to administer the programs.

States are prohibited from using SEP financial assistance to:

- Build mass-transit systems or exclusive bus lanes, or for the construction or repair of buildings or structures.



- Purchase land, buildings, or structures, or any interest therein.
- Subsidize fares for public transportation.
- Subsidize utility rate demonstrations or state tax credits for energy conservation or renewable energy measures.
- Conduct research, development, or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available, or purchase equipment for the conduction thereof. However, demonstrations of commercially available energy efficiency or renewable energy techniques and technologies are permitted.

See [10 CFR 420.18](#), *Expenditure prohibitions and limitations*.

States may use SEP funds for the purchase and installation of equipment and materials for energy efficiency and renewable energy measures, including reasonable design costs, with the following conditions:

1. Such use must be included in the State Plan.
2. If PVE funds are used, states must adhere to administrative terms and conditions imposed upon state use of such funds.
3. A state may use no more than 50% of all funds allocated by the state to SEP in a given year, regardless of source. This limitation does not include regular or revolving loan programs funded with PVE funds and is subject to waiver by DOE for good cause.
4. Buildings owned or leased by the United States are not eligible for energy efficiency or renewable energy measures under SEP.
5. Funds must be used to supplement not supplant weatherization activities under DOE's [Weatherization Assistance Program](#) for low-income persons, under [10 CFR 440](#).
6. States may use a variety of financial incentives to fund purchases and installation of materials and equipment including, but not limited to, regular loans, revolving loans, loan buydowns, performance contracting, rebates, and grants.
7. States are not allowed to use rebates for more than 50% of the total cost of purchasing and installing materials and equipment or loan guarantees.
8. No more than 20% of the annual federal allocation can be spent for office supplies, library materials, and equipment. The limit does not apply to supplies, library materials, and equipment that are integral to a program activity, such as brochures distributed as part of an education program or equipment used in preparing a demonstration. The 20% limitation does not apply to PVE funds used under SEP.

See [10 CFR 420.18 \(e\)\(2\)](#)

# Chapter TWO

## SEP Annual Formula Grants and Formula Grant Application

### Introduction

States must submit an annual Grant Application to receive federal financial assistance for SEP. The minimum requirements for the Grant Application were established by SEP's final rule in 1997 ([10 CFR part 420](#)). The rule mandates a uniform application and reporting format for all states while allowing states to remain flexible in their programmatic content. Applications and reporting forms must be submitted by the states through the Performance and Accountability for Grants in Energy (PAGE) system.

Early in the calendar year, DOE issues an Administrative and Legal Requirements Document (ALRD), which provides guidance to states on applying for formula funds and specifies the amount of formula funds that a state is eligible to receive. The ALRD is also accompanied by the Grant Guidance. The ALRD serves the same purpose as a Funding Opportunity Announcement, as previously issued for SEP formula allocations.

The annual Grant Application, as defined in the regulations, must be used by state agencies applying for grants from SEP. The annual Grant Application is the component of the State Plan that serves as a state's request for Formula grant funding and defines how the state will use allocated funds for the current fiscal year. The application must include a list of mandatory and optional activities, and it also must contain budgetary information.

A state's Master File consists of the state's energy efficiency goals and the mandatory activities the state intends to undertake to achieve those goals. If the state plans to change any of the items listed in the Master File, other than at the time of renewal or continuation of the award, the state will be required to submit an amendment to the Master File.

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### State Application

The State Application consists of a [Standard Form 424](#) (application), Standard Form 424A (budget), Budget Justification, Master File, Annual File, various certifications, a link to the state's latest A-133 audit, an indirect rate agreement or proposed rates for review, and an environmental questionnaire (if applicable). The DOE Grant Guidance provides information on where to download or access these materials.

#### Standard Form 424

A completed and signed [Standard Form \(SF\) 424](#) containing the most current information must be submitted. Section 18 of this form should reflect the allocation of new funds only (whether state, federal, cost match, or Petroleum Violation Escrow). States should verify compliance with [Executive Order 12372](#), Section 19. The instructions and the list of certifications and assurances referenced in Field 21 may be found here on DOE's [Office of Management website](#).

By signing Box 21, a state affirms to the certifications and assurances. In addition to completing the [SF 424](#), a state should add an attachment to the document that provides the name, phone number, and email address for the principal investigator and the business official. These should be re-validated annually.

#### Budget

The budget includes SF 424A and a Budget Justification. Each of these forms should be completed following the guidelines below.

SF 424A: Applications must include a budget for all funds applied for, including federal, Petroleum Violation Escrow (PVE), and state match. SF 424A should be completed as follows:

- **Section A: Budget Summary** lines 1-4, Columns (a) through (g). On line 1, enter new and unexpended DOE federal funds. Carryover funds should be listed in the estimated unobligated fund columns. Use a separate line for each funding source, e.g., PVE funds, state match, etc.
- **Section B: Budget Categories.** Separate column headings should be utilized for each funding source. The total in column (g), Section A, must equal the total of all columns in Section B.

## Budget Justification

The Budget Justification consists of a detailed explanation of the Object Class Categories listed in line 6, Section B, of SF 424A. In preparing the Budget Justification, states should address the following as requested for each budget category:

- **Personnel:** Identify all positions to be supported by title and the amounts of time (e.g. percent of time) to be expended on SEP, the base pay rate, and the total direct personnel compensation.
- **Fringe Benefits:** If fringe cost rates are approved by a federal agency, identify the agency and date of latest rate agreement and include a copy of the rate agreement with the application. If fringe cost rates are not approved by a federal agency, explain how total fringe benefit costs were calculated. Calculations should identify all rates used along with the base they were applied to (and how the base was derived), and a total for each (along with the grand total). If there is an established computation methodology approved for statewide use, provide a copy with the application.
- **Travel:** Provide the purpose of travel, such as professional conference(s), DOE-sponsored meeting(s), project monitoring, etc. Identify the number of travelers, and the destination/location, if known. If there is any foreign travel, it should be identified. Provide the basis for the travel estimate by citing past trips, current quotations, or federal and state travel regulations. *All listed travel must be necessary or beneficial to the performance of the State Energy Program* as defined in the [10 CFR 420](#). States are encouraged to budget funds for appropriate national and regional conferences such as Regional Energy Efficiency Organizations (REEO) meetings and National Association of State Energy Officials (NASEO) meetings.
- **Equipment:** Equipment is defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. List all proposed equipment and briefly explain its utility in meeting the objectives of this award. Provide a basis of cost such as vendor quotes, catalog prices, or prior invoices. If the equipment is being proposed as cost match and was previously acquired, provide the value of its contribution to the project and a rationale for the estimated value shown. If it is new equipment that will retain a useful life upon completion of the project, provide a rationale for the estimated value shown. Also, indicate whether the equipment is being used for other projects or is 100% dedicated to the state's state energy program.
- **Supplies:** Supplies are defined as items with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. List all proposed supplies and their estimated cost. Explain the utility of the supplies in meeting the objectives of this award. Supply items must be direct costs to the project and not duplicative of supply costs included in the indirect pool that is the basis of any indirect rate applied for this project. Provide a basis of cost for each item listed; for example, cite vendor quotes, prior purchases of similar or like items, or published price lists.
- **Contractual:** Contractual includes costs for work done or services provided by sub-recipients, vendors, contractors, or consultants. All sub-recipients, vendors, contractors, consultants, and their estimated costs, should be identified. Use "TBD" if the entity is unknown. Provide a brief description of the work to be performed or the service to be provided, and provide the market title the work or service falls under.
- **Other Direct Costs:** Other direct costs are direct cost items required for the project that do not fit clearly into other categories. These direct costs must not be included in the indirect costs (if indirect costs are proposed for this project). Examples of direct costs are conference fees, meetings within the scope of work, subscription costs, and printing costs. These costs can be directly charged to the project and cannot be duplicated in indirect costs (overhead costs). Provide



a general description, cost, and justification for each direct cost item. Provide a basis of cost for each item; examples include vendor quotes, prior purchases of similar items, and published price lists.

- **Indirect Costs:** If the indirect cost rate has been approved by a federal agency, identify the agency and the date of the latest rate agreement and submit a copy of the agreement with the application. If the indirect cost rate has not been approved by a federal agency, provide the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost basis for each rate.

## Annual File/Narrative Information Worksheet (DOE F 540.1)

The Annual File section of the State Plan describes each program activity (Market Title) for which the state requests financial assistance for a given year. This includes budget information and milestones for each activity, and the intended scope and goals to be attained either qualitatively or quantitatively. The SEP Narrative Information Worksheets capture this information. States are strongly encouraged to structure the activities within the Market Titles narrowly, such that each market title represents only a single state-implemented program. The Annual File should account for all funds budgeted within the program year, including funds for administrative activities. This includes state match and PVE funds. The Annual File must include at least one process metric for each Market Title. Market Titles that are administrative-only are exempt from this requirement.

See [10 CFR Part 420.13](#), *Requirements for annual state applications and amendments*.

See [10 CFR Part 420.15](#), *Minimum criteria for required program activities*.

See [10 CFR Part 420.17](#), *Optional elements of State Energy Program plans*.

Below, see guidance on filling out the specific items in the worksheet.

### State Plan Activity Codes

States should identify program activities under both 1. Market, and 4. Topics of the worksheet. Use of the Market and Topics sections assists DOE in tracking grant-funded activities and gathering regional and national information on SEP. DOE is often required to provide analyses, justifications, and recommendations based on the information provided by the states. The use of these categories, which are included in the Narrative Information Worksheet, also assists in developing performance metrics for each activity.

### Mandatory Requirements

The following activities and details on compliance are required in each State Plan:

- Establish mandatory lighting efficiency standards for public buildings;
- Promote carpools, vanpools, and public transportation;
- Incorporate energy efficiency criteria into procurement procedures; implement mandatory thermal efficiency standards for new and renovated buildings; or, in states that have delegated such matters to political subdivisions, adopt model codes for local governments to mandate such measures;
- Permit right turns at red traffic lights and left turns from a one-way street onto a one-way street at a red light after stopping; and
- Ensure effective coordination among various local, state, and federal programs within the state that pertain to energy efficiency, renewable energy, and alternative transportation fuel.

See [10 CFR Part 420.15](#) for more specific requirements on mandatory activities.

## Optional Program Activities

States may wish to consider the following program areas for inclusion in their State Plans:

- Program activities of public education to promote energy efficiency, renewable energy, and alternative transportation fuels;
- Program activities to increase transportation energy efficiency, including programs to accelerate the use of alternative transportation fuels for government vehicles, fleet vehicles, taxis, mass transit, and privately owned vehicles;
- Program activities for financing energy efficiency measures and renewable energy measures, which may include loan programs, and performance contracting programs for leveraging of additional public and private sector funds; and program activities that allow rebates, grants, or other incentives for the purchase of energy efficiency measures and renewable energy measures;
- Program activities for encouraging and for carrying out energy audits with respect to buildings and industrial facilities (including industrial processes) within the state;
- Program activities to promote the adoption of integrated energy plans that provide for (a) periodic evaluation of a state's energy needs, available energy resources (including greater energy efficiency), and energy costs; and (b) utilization of adequate and reliable energy supplies, including greater energy efficiency, that meet applicable safety, environmental, and policy requirements at the lowest cost;
- Program activities to promote energy efficiency in residential housing, such as (a) program activities for development and promotion of energy efficiency rating systems for newly constructed housing and existing housing so that consumers can compare the energy efficiency of different housing; and (b) program activities for the adoption of incentives for builders, utilities, and mortgage lenders to build, service, or finance energy efficient housing;
- Program activities to identify unfair or deceptive acts or practices that relate to the implementation of energy efficiency measures and renewable energy measures and to educate consumers on such acts or practices;
- Program activities to modify patterns of energy consumption so as to reduce peak demands for energy and improve the efficiency of energy supply systems, including electricity supply systems;
- Program activities to promote energy efficiency as an integral component of economic development planning conducted by state and local government entities and energy utilities;
- Program activities (enlisting appropriate trade and professional organizations in the development and financing of such programs) to provide training and education (including, if appropriate, training workshops, practice manuals, and testing for each area of energy efficiency technology) to building designers and contractors involved in building design and construction or in the sale, installation, and maintenance of energy systems and equipment to promote building energy efficiency;
- Program activities for the development of building retrofit standards and regulations, including retrofit ordinances enforced at the time of the sale of a building;
- Program activities to provide support for pre-feasibility and feasibility studies for projects that utilize renewable energy and energy efficiency resource technologies in order to facilitate access to capital and credit for such projects;
- Program activities to facilitate and encourage the voluntary use of renewable energy technologies for eligible participants in Federal agency programs such as the Rural Electrification Administration and the Farmers Home Administration;
- Program activities to support industrial energy efficiency and combined heat and power;
- Program activities to quantify the co-benefits of energy efficiency and renewable energy, including improvements in air quality, reductions in greenhouse gas emissions, improvements in public health and economic development; and
- Program activities to implement the Energy Technology Commercialization Services Program.

See [10 CFR Part 420.17](#) for more specific requirements on optional activities.

**Market Title**

Provide the name given to the specific activity.

**Figure 2-1. State Energy Program Annual File - Markets**

<b>Markets</b>	
<b>Market</b>	<b>Period</b>
<i>Title:</i> <a href="#">Alternative Transportation Program</a> <i>Market:</i> Transportation	07/01/2016 - 06/30/2017
<i>Title:</i> <a href="#">Building Technologies Technical Assistance</a> <i>Market:</i> Buildings	07/01/2016 - 06/30/2017
<i>Title:</i> <a href="#">Emerging Clean Energy Technology</a> <i>Market:</i> Electric Power and Renewable Energy	07/01/2016 - 06/30/2017
<i>Title:</i> <a href="#">Energy Assurance Planning Support</a> <i>Market:</i> Policy, Planning and Energy Security	07/01/2016 - 06/30/2017
<i>Title:</i> <a href="#">Industrial Energy Efficiency</a> <i>Market:</i> Industry	07/01/2016 - 06/30/2017
<i>Title:</i> <a href="#">Schools/Community Energy Education and Outreach</a> <i>Market:</i> Energy Education	07/01/2016 - 06/30/2017
<b>Total</b>	

**Market**

Select the area impacted by the activities.

### Topics In Overall Program Market

Choose all that apply to the activities undertaken in the market title.

**Figure 2-2. State Energy Program Annual File - Topics**

Market	Period	Federal Funding	Status
Title: <a href="#">Building Technologies Technical Assistance</a> Market: Buildings	07/01/2016 - 06/30/2017	\$250,000.00	Pending Add*

\* - When the this plan revision is approved this market title will become active. Edit

**Topics involved in the Overall Program Market (choose all that apply):**

<input type="checkbox"/> Agriculture	<input type="checkbox"/> Alternative Fuels	<input type="checkbox"/> Appliance efficiency and standards
<input type="checkbox"/> Bioenergy and biobased products	<input type="checkbox"/> Biomass Power	<input type="checkbox"/> Building America
<input type="checkbox"/> Carpools, vanpools, and ridesharing **	<input type="checkbox"/> Clean Cities	<input type="checkbox"/> Climate change planning
<input type="checkbox"/> Combined heat and power	<input checked="" type="checkbox"/> Commercial buildings	<input type="checkbox"/> Curriculum development
<input checked="" type="checkbox"/> Demand reduction	<input type="checkbox"/> Distributed energy generation	<input checked="" type="checkbox"/> Energy and environment
<input checked="" type="checkbox"/> Energy building codes	<input type="checkbox"/> Energy consumption and price statistics	<input checked="" type="checkbox"/> Energy emergency planning
<input checked="" type="checkbox"/> ENERGY STAR	<input checked="" type="checkbox"/> Federal, state and local facilities	<input type="checkbox"/> Federal Energy Management Program
<input checked="" type="checkbox"/> Financing energy programs	<input type="checkbox"/> Fuel cells	<input type="checkbox"/> General energy efficiency for industry
<input checked="" type="checkbox"/> Geothermal	<input type="checkbox"/> Green power programs	<input type="checkbox"/> Heavy vehicles and trucks
<input checked="" type="checkbox"/> Home energy ratings	<input type="checkbox"/> Hydrogen	<input type="checkbox"/> Hydropower
<input type="checkbox"/> Industrial processing	<input type="checkbox"/> Industries of the future	<input checked="" type="checkbox"/> Lighting **
<input type="checkbox"/> Low-income Weatherization	<input type="checkbox"/> Manufacturing	<input type="checkbox"/> Motors and other industrial systems
<input checked="" type="checkbox"/> Performance contracting	<input checked="" type="checkbox"/> Policy and energy legislation	<input checked="" type="checkbox"/> Procurement of efficient products **
<input type="checkbox"/> Public information	<input type="checkbox"/> Rating and labeling	<input type="checkbox"/> Rebuild America
<input checked="" type="checkbox"/> Residential buildings	<input type="checkbox"/> Right turn on red **	<input checked="" type="checkbox"/> Schools
<input checked="" type="checkbox"/> Solar power	<input type="checkbox"/> State energy strategic plans	<input type="checkbox"/> Telecommuting
<input checked="" type="checkbox"/> Thermal **	<input type="checkbox"/> Traffic signals	<input type="checkbox"/> Transmission and infrastructure reliability
<input type="checkbox"/> Transportation alternatives	<input type="checkbox"/> Waste management and recycling	<input checked="" type="checkbox"/> Water systems
<input type="checkbox"/> Wind energy		

Save

### Estimated Annual Energy Savings

Estimated energy savings (in MBtu) as a result of the activity should be provided in this section wherever practicable. States are encouraged to provide self-calculated data and realistic numbers for direct and indirect energy savings to assist DOE in communicating the impact of the State Energy Program.

### Description (Include Goals And Objectives)

Include a concise description of the activity, including goals and objectives, with enough specificity to allow DOE to determine that it meets program intent and includes no prohibited activities.

### Program Year Milestones

A list of milestones and, if applicable, the number planned, should be provided in this section.

## Metrics

Process metrics are an important element of Formula grant reporting, and are described in detail in the reporting guidance, [SEP Program Notice Series 10-006](#). The list of process metrics can also be found [here](#).

Some activities funded by SEP Formula grants cannot be measured meaningfully by the metrics outlined here (e.g., emergency preparedness or quick-response analysis for legislators, state executives, or stakeholders). The metrics discussed in this guidance are not intended to restrict or change state activities funded by SEP. Rather, they are intended to aid states so that, where possible, activity outcomes may be standardized for better understanding by Congress, by state executives and legislators, and by the public. SEP activities that do not fit into these metrics should be reported qualitatively.

## Market Title Budgets – Program Year Funds By Source

For each market title, provide a list of funding sources and the dollar amount for each source for the SEP grant budget and leveraged fund categories. DOE requests an estimate of anticipated leveraged funds for each function to assist in assessing SEP's impact.

## Master File

The Master File is the component of the State Plan that describes a state's energy efficiency goals and how a state intends to achieve those goals.

The Master File should include, wherever practicable, the state's overall strategic energy plan and an explanation of how the state's SEP agenda fits into this plan.

The Master File should:

1. Explain how implementing the plan will conserve energy;
2. Explain how the state will measure progress toward attaining its goals;
3. Explain how the plan satisfies the minimum criteria for the required (mandatory) activities; and
4. Provide a plan for state monitoring that describes how the state conducts the administrative and programmatic oversight for programs implemented by other agencies within the state, contractors employed by the state, or sub-recipients of financial assistance from the state.

Below we provide guidance on completing specific sections of the Master File.

### 1 – Description of State Energy Goals to be achieved

The Master File begins with an overall description of the energy efficiency, renewable energy, and alternative transportation fuel goals to be achieved through implementation of the SEP.

[10 CFR Part 420.13.b. \(2\)](#)

### 2 – Selection of State Goals

Applicants should describe why the state goals were selected.

[10 CFR Part 420.13.b. \(2\) \(ii\)](#)

### 3 – Measuring Achievement

Applicants should describe how the attainment of goals will be measured by the state.

[10 CFR Part 420.13](#).b. (2) (iii)

#### 4 – State Strategy

Applicants should describe how the program activities included in the State Plan represent a strategy to achieve the goals outlined in the Master File.

[10 CFR Part 420.13](#).b. (2) (iv)

#### 5 – Secretary’s invite to Governors and achieving a 25% or more improvement in the efficiency of use of energy by 2012 (1990 Baseline)

If a state has not met its 25% goal, it must describe how it plans to improve its efficiency by 25%, as described in EAct, and provide a target date by which this goal will be met.

##### EAct 2005:

The [Energy Policy Act of 2005](#) (EAct), Public Law 109-58, Title I, Subtitle B, Section 123, made two revisions to the legislation governing the SEP.

The first amends the provisions regarding State Plans by adding a subsection, as follows:

“(g) The Secretary shall, at least once every 3 years, invite the Governor of each State to review and, if necessary, revise the energy conservation plan of such State submitted under subsection (b) or (e) [the annual State Plan]. Such reviews should consider the energy conservation plans of other States within the region, and identify opportunities and actions carried out in pursuit of common energy conservation goals.”

States are invited to review their SEP State Plans with a view toward regional/multi-state collaboration. DOE will continue to work with the [National Association of State Energy Officials](#) (NASEO), the [National Governors Association](#), Regional Governors Associations, Regional Energy Efficiency Organizations (REEOs), and other regional initiatives designed to foster and support regional/multi-state cooperation and collaboration.

The second EAct revision amended the provisions regarding the energy efficiency goals established by the states, as follows:

“Each State energy conservation plan with respect to which assistance is made available under this part on or after the date of enactment of the EAct 2005 shall contain a goal, consisting of an improvement of 25 percent or more in the efficiency of use of energy in the State concerned in calendar year 2012 as compared to calendar year 1990, and may contain interim goals.”

Each state must describe how it has met or exceeded its 25% goal. If a state has not met or exceeded its 25% goal, it must describe how it plans to improve its efficiency by 25%, as described in EAct, and provide a target date by which this goal will be met.

##### Measuring progress toward the EAct 2005 goal:

The recommendations in this section are based on the EAct requirement that activities contained in each state’s energy conservation plan must be linked to state energy efficiency goals. By providing an assortment of goals

rather than one single metric, it will be easier for states to link activities with appropriate interim goals as well as ultimate goals. For example, a state that has already significantly reduced its energy intensity of production may decide to focus its energy conservation plan on residential energy use. Therefore, its EAct activities would be better measured by residential energy use per capita.

States should measure and annually report the change since 1990 in:

• Total energy use per capita	• Residential energy use per capita
• Commercial energy use per capita	• Transportation energy use per capita
• Total energy intensity of production (Btu per dollar of state real GDP)	• Industrial energy intensity of production

In addition, where feasible, states should report the change in the sectoral distribution of energy use since 1990 (percentage of total energy use by residential, industrial, commercial and transportation sectors), and the change in real Gross Domestic Product per capita, with their EAct reporting.

While the two metrics do not measure reductions in energy use, they may indicate whether changes in energy use may be related to broader economic transformations rather than energy efficiency measures. For example, an apparent improvement in industrial energy intensity may result less from successful conservation efforts and more from recession, if the economic downturn has resulted in the loss of heavy manufacturing. States should report changes in all of the recommended indices, and should indicate to DOE which are most pertinent to its state energy conservation plan.

State energy use data will be available via the [Energy Information Administration's](#) (EIA), Annual Energy Outlook (AEO). The AEO is typically released in late April or early May each year. Information on Gross Domestic Product by state can be gathered from the [U.S. Department of Commerce Bureau of Economic Analysis](#) (BEA).

The EIA State Energy Data System (SEDS) database provides a common data source for all states working toward the EAct goal. A state should use the relevant [SEDS data](#) for 1990 as a baseline to calculate its goals, then link each element of its State Plan to the appropriate goal.

State-specific information on energy consumption can also be found in [EIA's State Profiles](#).

### [10 CFR Part 420.13.b.\(3\)](#)

## 6 - Mandatory Activities

Applicants should address how the minimum criteria for the required program activities have been implemented and maintained. If there are mandatory activities being funded in the program year, these activities should also be addressed in the SEP Annual File Narrative Information Worksheets. A State Plan must include and satisfy all of the following minimum criteria for required program activities.

- Mandatory lighting efficiency standards for Public buildings;
- Program activities to promote the availability and use of car pools, van pools, and public transportation;
- Mandatory standards and policies to improve energy efficiency of state and local procurement practices;
- Mandatory thermal efficiency standards for new and renovated state and local buildings;

- A traffic law or regulation that permits the operator of a motor vehicle to make a right turn at a red traffic light after stopping and a left turn from a one-way street to a one-way street after stopping; and
- Procedures must exist for ensuring effective coordination among various local, state, and federal energy efficiency, renewable energy, and alternative transportation fuel programs within the state, including any program administered within [DOE's Building Technologies Office](#), State, and Community Programs and the [Low-Income Home Energy Assistance Program](#) administered by the [U.S. Department of Health and Human Services](#).

[10 CFR Part 420.13](#) b (4)(v) and 15

## 7 - Environmental Impact

If any of the activities being undertaken by the state in its State Plan have environmental impacts, a detailed description of the increase or decrease in environmental residuals (i.e. air or water pollution [CO<sub>2</sub>, NO<sub>x</sub>, SO<sub>x</sub>, etc.], solid and hazardous waste, etc.) expected from implementation of the State Plan should be provided. The impacts should be defined as much as possible using information from DOE. This section should also discuss how these environmental factors were considered in the selection of program activities.

[10 CFR Part 420.13](#).b.(5)

## 8 - Supplementing Weatherization

If a state undertakes program activities involving purchase or installation of materials or equipment for weatherization of low-income housing, an explanation of how these activities would supplement and not supplant DOE's [Weatherization Assistance Program](#), under [10 CFR 440](#), should be included in this section.

[10 CFR Part 420.13](#).b. (6)

## 9 - Supplementing State/Local funds

States should provide a reasonable assurance to DOE that the state has established policies and procedures designed to ensure that federal financial assistance for the State Plan will be used to supplement, and not to supplant, state and local funds. States should also, to the extent practicable, attest to an increase in funds available for State Plan activities—an increase independent of Federal assistance.

[10 CFR Part 420.13](#).b. (7)

## 10 - Compliance with Laws and Regulations

This section should include an assurance that the state will comply with all applicable statutes and regulations in effect during the period for which the state receives grant funding.

[10 CFR Part 420.13](#).b. (8)

## 11 - Energy Emergency Plans

States should maintain an energy emergency plan for an energy supply disruption, designed by the state, consistent with applicable federal and state law. It should include an implementation strategy or strategies (including regional coordination) to deal with energy emergencies. Over the past decade, state energy emergency plans have evolved from a focus on natural disaster response to a comprehensive, all hazards approach including mitigation measures such as diversification of energy resources, energy efficiency, and renewable energy.





States shall submit a certification (via letter) that they have an energy emergency/assurance plan on file and that it is available to DOE upon request. For States that desire to update their plan, model guidelines have been developed for incorporating energy efficiency and renewable energy technologies into a State's energy emergency plan. These guidelines can be viewed at: <http://naseo.org/eaguidelines>.

## 12 - Monitoring Approach

The state completes this section of the Master File to describe how the state conducts administrative and programmatic oversight activities for SEP programs that are implemented by other agencies within the state, contractors employed or contracted by the state, or sub-recipients of financial assistance from the state.

If a state has an ongoing American Recovery and Reinvestment Act (ARRA) financing program, the following template language should be included in the section on their Monitoring Approach:

Following the end of [State Energy Office's Name]'s SEP ARRA grant [ARRA Grant Number], [State Energy Office's Name], chose to continue financing program(s) established under our SEP ARRA grant per SEP Program Notice 10-008. This guidance series outlines the continuing administration and reporting required. No dollars were transferred from the ARRA award to the Annual award because the dollars were expended during the period of performance of the ARRA award. Monitoring information on the programs, including the scope and quarterly financial information, can be found in the Financial Programs Report, submitted quarterly as part of [State Energy Office' Name}'s SEP Annual grant quarterly reporting requirements.

For those states with active ARRA-funded RLFs, either self or third party administered, please address the following items in Box 12, Monitoring Approach, of the Master File:

- Provide citations to any applicable State regulations or legislation regarding defaults or write-offs;
- Define what constitutes a loan being in default, including the period of time needed to pass since a payment was made for a loan to be considered in default status;
- Describe the policies and procedures used to collect loan payments and / or reclaim defaulted loans (in order of occurrence);
- Describe the policies and procedures to determine when a loan in default is written off;
- Include any other pertinent information that applies to your loan default and write-off process.

If a state is interested in converting an ARRA-funded financing program to a grant program or a new financing program, the state must send an e-mail request to its Project Officer. The e-mail should indicate how the state would reword the "description section" of its PAGE Financial Programs Report (FPR), outline the additional metrics that would be added to the "metrics section" of the FPR, and detail the revised dollar amounts. Written approval must be obtained by the Contracting Officer before a state can implement the new program.

If a state is interested in moving ARRA financing program funds from one financing program to another financing program within the FPR, the state should enter an Inter-Program Transfer in the FPR, provide an explanation in the FPR Remarks section, and notify its Project Officer of the transfer. Contracting Officer approval is not required on Inter-Program Transfers.

A Financial Programs Report (FPR) must be submitted quarterly, but a Quarterly Progress Report and SF-425 are not required for ARRA Financing Program activities. The FPR is available in PAGE and should be completed quarterly, once the state's ARRA award has expired. The FPR requires the state to report metrics for each financing program.

For further guidance, see [SEP Program Notice 10-006D](#) “DOE Reporting Requirements for the State Energy Program.”

## Annual Summary

Beginning in Program Year 2014, states must submit an Annual Summary to their assigned Project Officer. The Annual Summary must sum up activities undertaken in the grant period by Market Title, including successes and failures, lessons learned, and recommendations to DOE for future activities. If SEP funds are used to support State Energy Office staff, the Final Summary must include a description of staff activities related to promoting energy efficiency and renewable energy. The Annual Summary must be submitted no later than 90 days following the end of the budget period.

*A suggested template for the Annual Summary can be found in the Appendix D.*

## Final Reports and Close-out

Final Reports and Close-out information are due 90 days after the end of each grant project period - typically at the end of a calendar quarter. Contact your Project Officer for information on the close-out process.

# Chapter THREE

## Program Administration: Monitoring and Reporting

### Introduction

Federal regulations require the U.S. Department of Energy (DOE) to monitor each grant recipient and grantees to monitor each project, program, sub-recipient, function, or activity supported by federal funds to ensure compliance with all federal regulations. The State Energy Program (SEP) has staff located in Washington D.C. (Headquarters) and Golden, Colorado (Field Office). DOE Leadership and staff at both locations participate and coordinate SEP's monitoring responsibilities.

The goal of State Energy Office (SEO) grant monitoring is to maximize the effectiveness of SEP activities to confirm compliance with applicable federal and state regulations and to ensure projects are on schedule and on budget. Monitoring also provides an opportunity for DOE to communicate with states and states with subrecipients to provide assistance to help achieve our mutual energy goals. This section outlines grant monitoring procedures and responsibilities established for DOE and states.

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### Reporting

#### What is PAGE?

The [Performance and Accountability for Grants in Energy](#) (PAGE) system is an online database developed by DOE. The online database is available to all SEP and Weatherization Assistance Program grant recipients.

PAGE allows DOE and its grantees to electronically submit and manage grant performance and financial information. PAGE performs grant program management, provides a standardized framework for applications and reporting, and collects performance data.

#### PAGE Functions

The PAGE database includes grant information such as applications, summaries, financial reports, programmatic reports, and monitoring. The navigational structure in PAGE allows Project Officers (PO) and grantees to access grant information using categorized tabs. Formula grant information is under the “SEP” tab, while Competitive award information is under the “SEP Special Projects” tab.


#### Information Types

The Application documents page lists “packages” of application documents (submitted and approved). These documents may include [SF424s](#), Budgets, Annual Files, Master Files, or Performance-site location information. Optional documents required for submitting applications can be included as file attachments at the bottom of the [SF424](#) page. Grant Application information may include descriptive and demographic information related to the grantee, detailed budget information, description of grantee program management, and programmatic description of the activities that will be performed during the grant period.

Figure 3-1. Application Documents

Approved Application Packages					
Program Year	Revision #	Opportunity Code	Start Date	End Date	
<a href="#">2015</a>	2	DE-SEP-0002015	07/01/2015	06/30/2016	
<a href="#">2015</a>	1	DE-SEP-0002015	07/01/2015	06/30/2016	
<a href="#">2015</a>	0	DE-SEP-0002015	07/01/2015	06/30/2016	
<a href="#">2014</a>	0	DE-SEP-0002014	07/01/2014	06/30/2015	
<a href="#">2013</a>	1	DE-FOA-0000817	07/01/2013	06/30/2014	
<a href="#">2013</a>	0	DE-FOA-0000817	07/01/2013	06/30/2014	

Pending Application Packages					
Program Year	Status	Revision #	Opportunity Code	Start Date	End Date
<a href="#">2016</a>	In-process	0	DE-SEP-0002016	07/01/2016	06/30/2017 

Grant summaries are available under the “SEP” tab; they include procurement, financial, and period of performance data.

Grant financial reports include the information submitted with the Federal Financial Report (standard form SF-425). Information for ASAP grant fund drawdowns is available on the payments page.

Grant programmatic reports include program-specific performance data required to measure the success of the grant program. This data is typically reported based on information provided as part of the Grant Application (reporting actual data in comparison to the plan). Programmatic reports may include combinations of monthly, quarterly, and annual reports. Additional reports may be required by grant programs; for example, the Semi-Annual Davis Bacon report and the Annual Historic Preservation report.






Grant monitoring includes information provided by Project Officers as part of their grant monitoring activities. Monitoring activities are program-specific. They may include desk audits and on-site visits. Their frequency varies depending on the grant program requirements.

## Types of Reporting in PAGE

### Quarterly Performance Report

The Quarterly Performance Report (QPR) contains activity (market title) level information on costs, milestones, and metrics, as well as qualitative descriptions. It also provides a comprehensive view of activity progress. [SEP Program Notice 10-006C](#) contains guidance for reporting on QPRs. The QPR is due no later than 30 calendar days after the end of each reporting period. QPRs are submitted to and approved by DOE via the QPR page.

Figure 3-2. Quarterly Performance Report

<b>Program Year:</b> 2015
<b>Budget Period:</b> 07/01/2015 - 06/30/2016
<b>Performance Period:</b> 01/01/2016 - 03/31/2016 In-process 
 
 <b>Note:</b> This report is not complete until it has been submitted to DOE
<b>Title:</b> Buildings 
<b>Market:</b> Buildings
<input type="button" value="Validate"/>
Mark this performance report ready for submission below, or <a href="#">click here</a> to return to the performance reporting screen.
<input type="checkbox"/> Ready For Submission (Note: This field is saved immediately when box is checked/unchecked)
<b>Status:</b> Active <b>% of Work Complete:</b> 0
<b>Description:</b> The overall objective in this market sector is to reduce energy use or cost or both in State buildings. These efforts align with the DOE goal of 25 percent increased energy efficiency and the new SEP strategic plan.  TECHNICAL ASSISTANCE: The Energy staff will provide technical energy efficiency or renewable energy assistance to multiple entities including K12 schools, institutions of higher education, hospitals, local governments and state agencies. These services may include walkthrough audits; review of design plans;
<b>Planned Dates:</b> 07/01/2015 - 06/30/2016
<input type="button" value="Edit"/>

**Federal Financial Report (Standard Form SF-425)**

The Federal Financial Report (FFR) contains federal and state expenditures, program income, indirect expenses, and PVE funds (if applicable). [SEP Program Notice 10-006C](#) contains guidance for reporting on FFRs. The FFR is due no later than 30 calendar days after the end of each reporting period. FFRs are submitted to and approved by DOE via the FFR page.

Figure 3-3. Federal Financial Report (SF-425)

**Reporting Period:** 01/01/2016 - 03/31/2016 In-process

**Note:** This report is not complete until it has been submitted to DOE

Print / Export

Cumulative for:  life of grant  budget period

**Federal Outlays Reported On The Quarterly Performance Report For This Period**

PPR Status: In-process

Title(s) (show details...)	Activity Status	Previously Reported	This Period Outlays	Cumulative To Date
<b>Total Outlays</b>		\$477,757.08	\$0.00	\$477,757.08

Account or Identifying Number:  Basis:  Cash  Accrual

**10. Transactions**

Federal Cash	Previously Approved	This Period	Cumulative
a. Cash Receipts	\$1,552,755.73	\$ 184,302.75	\$ 1,737,058.48
b. Cash Disbursements	\$1,521,394.19	\$ 200,000.00	\$ 1,721,394.19
c. Cash on Hand (line a minus b)	\$31,361.54	-15,697.25	\$ 15,664.29

Federal Expenditures and Unobligated Balance	Previously Approved	This Period	Cumulative
d. Total Federal Funds Authorized			\$ 2,265,220.00
e. Federal Share of Expenditures	\$1,521,394.19	\$ 200,000.00	\$ 1,721,394.19
f. Federal Share of Unliquidated Obligations	\$4,186.10		\$ 4,186.10
g. Total Federal Share (sum of lines e and f)	\$1,525,580.29		\$ 1,725,580.29
h. Unobligated Balance of Federal Funds (line d minus g)			\$ 539,639.71

Recipient Share	Previously Approved	This Period	Cumulative
i. Total Recipient Share Required	\$16,397,045.00	\$ 0.00	\$ 16,397,045.00
j. Recipient Share of Expenditures (>100% to date)	\$5,088,410.56	\$ 800,000.00	\$ 5,888,410.56
k. Remaining Recipient Share to Be Provided (line i minus j)	\$11,308,634.44	-800,000.00	\$ 10,508,634.44

Program Income	Previously Approved	This Period	Cumulative
l. Total Federal Program Income Earned	\$2,448.13	\$ 6,816.63	\$ 9,264.76
m. Program Income Expended in Accordance with the Deduction Alternative	\$0.00	\$ 9,264.76	\$ 9,264.76
n. Program Income Expended in Accordance with the Addition Alternative	\$0.00	\$ 0.00	\$ 0.00
o. Unexpended Program Income (line l minus line m or line n)	\$2,448.13	-2,448.13	\$ 0.00

**Financial Programs Report**

The Financial Programs Report (FPR) summarizes income, outlays, financial and program metrics, and qualitative descriptions for ARRA-funded SEP financing programs (i.e., revolving loan funds, loan loss reserves and interest rate buy down programs). The FPR also includes descriptions and metrics for grant programs funded by grantees with funds repurposed from ARRA financing programs. [SEP Program Notice 10-006C](#) contains guidance for

reporting on FPRs. The FPR is due no later than 30 calendar days after the end of each reporting period. FPRs are submitted to and approved by DOE via the FPR page.

**Figure 3-4. Financial Programs Report**

**Reporting Period:** 01/01/2016 - 03/31/2016 In-process ▼

**Title:** (1) Revolving Loan Program ▼

**Financial Program Summary** ?

Linked Grant:	EE0009999: State of Grantee
Financial Program Title:	(1) Revolving Loan Program
Description:	<div style="border: 1px solid #ccc; padding: 5px;"> <p style="text-align: right;"><a href="#">View the full text...</a></p> <p>Revolving loan fund for commercial (non-residential) renewable energy and energy efficiency projects. The renewable energy projects could be power, combined heat and power, or thermal only projects.</p> </div>
Program Administered:	<input checked="" type="checkbox"/> In-House <input type="checkbox"/> Third Party
Final ARRA Program Funding:	\$15,000,000.00
Financial Program Status:	Active



**FINANCIAL METRICS SUMMARY** ?  
(This section is pre-populated from information entered below in this report)

Program Size	
Previous Program Size	\$15,029,240.30
+ Non-Principal Income (Including Interest and Fees)	\$0.00
+ Inter-Program Transfer	(\$2,000,000.00)
- Outlays	\$0.00
<b>= Program Size</b>	<b>\$13,029,240.30</b>
Funds Available	
Program Size	\$13,029,240.30
- Loans Given (cumulative to date)	\$14,345,042.00
+ Principal Repaid (cumulative to date)	\$3,914,593.93
<b>= Funds Available</b>	<b>\$2,598,792.23</b>

### Semi-Annual Davis Bacon Reporting

DOE grantees must comply with the [Davis-Bacon Act](#) as a condition of spending ARRA funds. Among other Davis-Bacon requirements, grantees must report semi-annually to DOE regarding their oversight of Davis-Bacon compliance and enforcement. These reports are only required for annual Formula grants with FPRs. They are due within 25 calendar days following the end of the semi-annual reporting period.

**Figure 3-5. Semi-Annual Davis Bacon Enforcement Report**

1. <b>Period Covered:</b> 10/01/2015 - 03/31/2016 In-process		 
Validate		
2.	Number of contracts awarded subject to Davis-Bacon and Related Acts:	3
3.	Total dollar amount of contracts awarded Subject to Davis-Bacon and Related Acts:	\$ 15,634,736.00
4.	Number of contractors/subcontractors against whom complaints were received:	0
5.	Number of investigations completed:	2
6.	Number of contractors/subcontractors found in violation:	1
7.	Amount of wage restitution found due:	
	Davis-Bacon and Related Acts:	\$ 800.26
	Contract Work Hours and Safety Standards Act: (Overtime Violations)	\$ 0.00
8.	Amount of back wages paid:	
	Davis-Bacon and Related Acts:	\$ 800.26
	Contract Work Hours and Safety Standards Act:	\$ 0.00
9.	Total number of employees due wage restitution under the Davis Bacon and Related Acts and/or Contract Work Hours and Safety Standards Act:	2
10.	Amount of liquidated damages assessed under Contract Work Hours and Safety Standards Act:	\$ 0.00
<input type="button" value="Save"/> <input type="button" value="Cancel"/>		
<a href="#">Burden Disclosure Statement</a>		+
<a href="#">Instructions for Semi-Annual Enforcement Reporting Purposes</a>		+

**Historic Preservation Reporting**

Grantees must comply with the requirements of Section 106 of the National Historic Preservation Act as a condition of spending DOE funds. Among other Historic Preservation Act requirements, grantees must report annually to DOE regarding how they have met the Historic Preservation Act requirements for activities they are undertaking using DOE funds over the year. These reports cover the period September 1 to August 31, and are due September 15 each year.



**Figure 3-6. Historic Preservation Report**

**Reporting Period:** 09/01/2015 - 08/31/2016 In-process

1a. State where recipient is located: **AA**

1b. Name of recipient: **State of Grantee**

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. If your answer to 1c above is no, then 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  N/A

1e. Total number of activities being funded in whole or in part with DOE funds:

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, or 2c, please list the following:

a. Number of Section 106 reviews completed under the PA:

**Grant Guidance**

DOE provided updated guidance to SEP grantees on reporting requirements in [SEP Program Notice 10-006D](#) effective September 19, 2014.

DOE provided guidance to SEP grantees on financing programs in [SEP Program Notice 10-008D](#) on October 26, 2012.

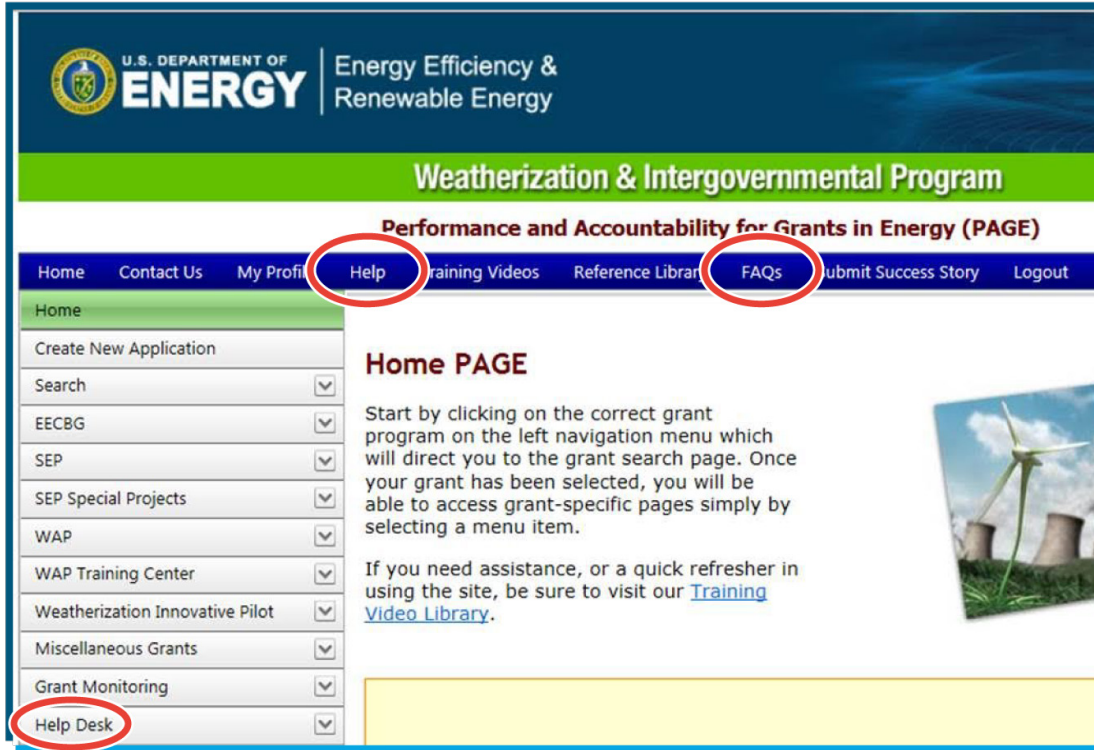
**Establishing a PAGE Account**

User access to PAGE is provided by PAGE Local System Administrators. For grantee users, each grantee office has at least one Local System Administrator; and for DOE users, each DOE office has at least one Local System Administrator. Users should contact the [PAGE Help Desk](#) for assistance with finding a PAGE Local System Administrator in their office.

## PAGE Support

For any questions and support, grantees can refer to the FAQ tab, use the Help Button on the PAGE home screen, or should contact their DOE Project Officer. If a Project Officer is unable to provide assistance, the PAGE Help Desk can be reached by emailing [PAGE-Hotline@ee.doe.gov](mailto:PAGE-Hotline@ee.doe.gov) or calling 866-492-4546. See figure 3-7 below.

Figure 3-7. PAGE Support



## Monitoring

### Monitoring the Program

Federal regulations require DOE to monitor each grant recipient. Federal regulations also require grantees to monitor each project, program, sub-recipient, function, or activity supported by federal funds to ensure compliance with all federal regulations.

See [10 CFR 600.151](#) and [10 CFR 600.240](#), for awards made on or before December 26, 2014, or [2 CFR 200.328](#), for awards made after December 26, 2014.

This section outlines grant monitoring procedures and responsibilities established for DOE and states.

### Goals and Objectives

The goal of State Energy Office (SEO) grant monitoring is to maximize the effectiveness of SEP activities and to ensure compliance with applicable regulations. Administrative and financial monitoring ensures projects are on track and on schedule. Monitoring also provides an opportunity for DOE to communicate with states and provide assistance to help them achieve their energy goals.

### DOE Monitoring of States

DOE is responsible for the oversight of SEP operations. DOE is also responsible for establishing monitoring policy and procedures, reviewing and assessing state administration of the program, and providing necessary technical assistance and training.

## **Desk Monitoring**

Project Officers (POs) perform desk monitoring to periodically review the status of projects and activities included in the State Plan and assess the financial status of the program in that state. Desk monitoring includes review of reports submitted by the state, discussions of items such as spending and milestones, and major accomplishments to highlight the activity for DOE to inquire if technical assistance is needed in a certain area, and/or offer project-specific suggestions.

POs also make regular monitoring visits to each state (see below).

## **On-Site Monitoring**

Federal regulations require DOE to perform formal, on-site monitoring visits to states. During an on-site monitoring visit, the PO reviews the state's performance. A PO may request to observe state personnel monitoring a sub-recipient, or review state procedures for dealing with a problematic sub-recipient.

## **Pre-Visit Review and Monitoring Instrument**

The pre-visit review is a key ingredient to a successful monitoring trip. The PO begins by coordinating with the state to determine visit dates and a draft agenda. At least 45 days prior to the visit, the PO asks the state to complete and provide the following pieces of information:

- Organizational management structure
- Sample sub-recipient monitoring report
- Administrative/programmatic policies/procedures
- To the extent possible, a completed SEP On-Site Monitoring Instrument

DOE requests that this information is submitted to the PO at least 15 days prior to the visit to allow for a thorough review.

The PO then works with the state to develop a final agenda and determine which programs, contracts, and projects to review while on-site. The PO ensures that the agenda is comprehensive enough to cover most aspects of the state's activities and verifies that the state is complying with program and federal grant requirements.

Next, the PO sends a final notification letter and draft agenda to the state at least 21 days in advance of the visit. The letter describes the breadth of the review that will occur in the upcoming visit. The letter should list specific projects or programs, activities, sites, and materials to be reviewed.

POs review the following documents prior to the visit:

- The information submitted by the state including the On-Site Monitoring Instrument
- The most recent monitoring visit report and correspondence with the state
- Recent quarterly progress and fiscal reports for the year to be monitored
- Current Master File and Annual File
- Program and project files for the programs to be monitored during the visit

*See Monitoring Instrument in Appendix G.*

## **Monitoring Visit**

Monitoring visits typically start with an entrance briefing involving the PO, the SEO Director, SEP Manager, and any other key staff supporting SEP. This allows the PO the opportunity to interact with grant-funded personnel and strengthen the working relationship.

At the entrance briefing, the PO reiterates the goals and objectives of the monitoring visit, gathers general information for the monitoring report, and discusses the goals of the state's programs. The PO also examines the state's organizational structure to learn the responsibilities of each staffer supported by the grant as well as changes in state management that could impact ongoing programs. During the entrance briefing, participants should schedule an exit conference at the close of the monitoring visit, or within three working days by teleconference.

Monitoring visits typically last from one to three days. They comprise administrative, financial, and programmatic subject areas. The administrative review evaluates the management system, the financial review examines business operations and accounting practices for all sources and uses of funds, and the programmatic review covers the state plan.

The financial review ensures that procurement, payroll, and contracting procedures meet state and federal requirements and have sufficient documentation. Also, the state's records of its financial, procurement, invoicing, and contracting must be properly maintained and accurate. If the PO finds or suspects systems that do not meet federal grant requirements, the PO should discuss these with the SEO Director as soon as possible, so a solution can be implemented.

The programmatic review evaluates the implementation of the approved plan, comparing actual accomplishments to milestones and the latest quarterly report. The PO reviews the program files, interviews project managers, and checks whether the state's desktop and on-site monitoring of its sub-recipients match the monitoring section of the State Plan. The PO reviews the state monitoring questionnaire and, if needed, accompanies state personnel to a sub-recipient visit.

Finally, the PO obtains copies of documents to support the conclusions and findings. With the exception of suspected waste, fraud, or abuse, the PO will discuss any observations, concerns, and/or findings with state personnel at an exit briefing. The PO will also discuss ideas and recommendations with state personnel and ask if there are procedures or processes on which DOE can improve.

## **Post-Visit Review**

Within 30 days of the visit, the PO prepares a draft monitoring report containing the results of the on-site visit, including any commendations, concerns, and/or findings. The report is reviewed by the Branch Chief and transmitted to the state when final. DOE endeavors to send complete monitoring reports to states 30 days of a monitoring visit, subject to a state's provision on a timely basis of any follow-up requested information.

The state is required to address any findings with a Corrective Action Plan submitted to DOE within 30 days. The PO accepts or rejects the state's response within 30 days. If the PO rejects the state's response, further negotiations and correspondence are required. If the state fails to respond after the second notice, the PO sends another notice of the findings. If the state still does not respond or refuses to comply, DOE can consider initiating remedial actions. Once DOE accepts the state's response, the PO sends the state a final letter of acceptance. After completing the post-visit review, the PO enters final monitoring report into PAGE.

## State Monitoring Efforts

Federal regulations require state grantees to monitor each project, program, sub-recipient, function, or activity supported by federal funds to ensure compliance with federal reporting requirements and performance goals.

State-implemented projects are activities that are funded by SEP and performed by state personnel. States should monitor their projects as they would monitor a sub-recipient's project; they should assess program quality and increase program success and effectiveness. To monitor their projects, states can follow the same general monitoring procedures the POs use, including the checklists. States may skip over questions that do not apply, but should concentrate on the questions that assess program quality.

## Program Accomplishments - Sharing Success

Widespread dissemination of success stories is a key priority for SEP. It is important to ensure that key information about the nature and impact of SEP activities is accessible, reliable, and delivered through multiple communications channels to stakeholders and the public. When possible, success stories include quantitative and qualitative results. The best success stories demonstrate positive and lasting impact to a state or local community and include photos or other visual graphics to illustrate the impact of the project.

*An SEP success story template for Project Officers and/or grantees can be found in Appendix C.*

**Figure 3-8. Success Stories**



## Chapter FOUR

### Learn More about DOE's Technical Assistance Resources

#### Introduction

The U.S. Department of Energy's (DOE) State Energy Program (SEP) provides critical technical assistance to all 50 states, the U.S. territories, and the District of Columbia to maximize the benefits of energy efficiency and renewable energy throughout the nation. Over decades of work, SEP and its stakeholders have developed institutional knowledge on how to help state and local governments create new partnerships and connect with resources in the clean energy sector.

This includes resources to help develop and implement financing mechanisms for institutional retrofit programs; loan program and management; energy savings performance contracting; comprehensive residential programs for homeowners; transportation programs that accelerate use of alternative fuels; and renewable programs that remove barriers and support supply side and distributed renewable energy.

---

### DOE's Technical Assistance Resources

#### State and Local Solution Center

The transition to a clean energy economy—saving energy in our buildings, generating clean and reliable electricity, and promoting sustainable transportation—will lead to a range of benefits including reduced waste, savings to taxpayers, job and economic growth, a cleaner environment, and a more secure energy future. Achieving a clean energy economy will not happen without leadership and commitment. Many state and local and K-12 school district leaders across the country are stepping up and meeting the challenge.

DOE's [State and Local Solution Center](#) provides resources to advance successful, high-impact clean energy policies, programs, and projects. By championing state and local leadership, addressing specific market barriers, and promoting standardized approaches, the State and Local Solution Center aims to help states, local governments, and K-12 schools take clean energy to scale in their communities. The resources are organized into the following four actions leaders can take to accelerate the transition to a clean energy economy:

[Develop a Clean Energy Strategy](#)

[Design and Implement Clean Energy Programs](#)

[Pay for Clean Energy](#)

[Access and Use Energy Data](#)



State and local leaders will find three targeted opportunities for impact in their jurisdiction and information regarding initiatives and resources in the areas of renewable power, sustainable transportation, and energy-saving homes, buildings, and manufacturing.

The State and Local Solution Center supports the U.S. Department of Energy’s [State Energy Program](#), [Weatherization Assistance Program](#), and the [Better Buildings Initiative](#).

### State, Local and Tribal Technical Assistance Gateway

The [State, Local and Tribal Technical Assistance Gateway](#) provides an access point to DOE’s technical assistance and cooperative activities with state, local and tribal officials. Through its program and staff offices, DOE has engaged extensively with various levels of state, local and tribal governments, providing technical assistance on a range of energy issues. Our existing technical assistance resources, as well as relevant information offered by other federal agencies, are provided on the website.

## DOE Initiatives for State and Local Governments



### Better Buildings Initiative

The [Better Buildings Initiative](#) is a national leadership initiative calling on corporate chief executive officers, university presidents, utilities, state and local officials, and other leaders to make substantial commitments to improve the energy efficiency of their buildings and plants, save money, and increase competitiveness. The cornerstones are a commitment to an energy savings target of at least 20% across the organizations’ portfolios and a commitment to share strategies that work, substantiated by energy data across the portfolios. As part of President Obama’s Climate Action Plan, DOE is expanding this initiative to engage leaders in a set of [Better Buildings Accelerators](#). The Accelerators are designed to demonstrate innovative energy efficiency policies.

### Outdoor Lighting Accelerator (OLA)

Cities participating in the [Outdoor Lighting Accelerator](#) will demonstrate practical and effective best practices to accelerate the adoption of high-efficiency outdoor lighting and improve system-wide replacement processes. Cities will collaborate amongst themselves and with DOE to drive analysis, secure funding, and install outdoor lighting systems. Partners will develop best practices for system-wide upgrades and address issues that limit investment in high-efficiency technologies, such as financing and utility tariff-rates. A state or region may also join in a collaborative and supportive role, working with three or more cities in their state/region.



### Energy Savings Performance Contracting (ESPC) Accelerator

The [Energy Savings Performance Contracting \(ESPC\) Accelerator](#) is designed to expand the use of ESPC by State and local governments and K-12 schools. Between January 2013 and December 2016, the ESPC Accelerator aims to catalyze public-sector energy efficiency investments of \$2 billion. Partners will work together to develop their approaches and implement them long-term.



### Energy Data Accelerator

The Better Buildings [Energy Data Accelerator](#) was a two-year partnership with cities and utilities to improve energy efficiency by making energy data more accessible to building owners. As a result of this initiative, building owners are measuring and



tracking the energy performance of their buildings more than ever. Working with partners from cities, states and real estate organizations, utility leaders are now able to aggregate the total energy usage within a building and send that information to building owners, providing a service that empowers owners to reduce wasted energy and support the goals of ratepayer funded energy efficiency programs. The [Energy Data Accelerator Toolkit](#) was developed as a result of this initiative and is a collection of resources to enable utilities and communities to learn from the work of the Accelerator.

### **Industrial Superior Energy Performance Accelerator**

Better Buildings' [Industrial Superior Energy Performance](#) is a certification and recognition program for facilities demonstrating energy management excellence and sustained energy savings. The purpose of this accelerator is twofold: to demonstrate cost savings from implementing superior energy performance enterprise-wide; and to demonstrate strategic energy management through superior energy performance as an effective ratepayer-funded energy efficiency program offering for industrial facilities. Ratepayer-funded program partners are utilities and energy efficiency program administrators that agree to work towards deployment of superior energy performance to manufacturers across their service territories.

### **Data Center Accelerator**

Organizations participating in the [Data Center Accelerator](#) commit to reducing the infrastructure energy intensity of one or more of their data centers by 25% over a period of five years. Federal agencies, national laboratories, higher education facilities, and private businesses will work with DOE to meter both IT and infrastructure energy use during the commitment period, with the goal of developing creative, cost-effective energy efficiency improvements.

### **The Clean Energy for Low Income Communities Accelerator**

The Clean Energy for Low Income Communities Accelerator aims to lower energy bills in low income communities through expanded installation of energy efficiency and distributed renewables. Low income households spend an average of 15 to 20 percent of their income on energy bills, whereas energy burdens above 6 percent are typically considered unaffordable. Although the primary objective of increasing clean energy installations in low income communities is to help lower energy costs, a number of additional benefits would be provided. Distributed renewables can provide stability from rising energy costs, promote economic development, and improve the environment.

### **Wastewater Infrastructure Accelerator**

State, regional, and local agency partners will work to improve the energy efficiency of water resource recovery facilities by at least 30% on their path to more sustainable infrastructure in the future. The Accelerator helps to catalyze the adoption of innovative and best-practice approaches in data management, technologies, and financing for infrastructure improvement.

### **The Combined Heat and Power (CHP) for Resiliency Accelerator**

The CHP for Resiliency Accelerator supports and expands the consideration of CHP solutions to keep critical infrastructure operational every day and night regardless of external events. As a collaborative effort with states, communities, utilities, and other stakeholders, Partners will examine the perceptions of CHP among resiliency planners, identify gaps in current technologies or information relative to resiliency needs, and develop plans for communities to capitalize on CHP's strengths as a reliable, high efficiency, lower emissions electricity and heating/cooling source for critical infrastructure.



## DOE's Stakeholder Organizations and Technical Assistance

Through cooperative agreements, DOE provides financial support to several stakeholder organizations. The primary objective is to develop technical assistance resources, analyses, and communications/coordination between DOE and the states focusing on specific energy efficiency and renewable energy resources.

### The American Council for an Energy-Efficient Economy (ACEEE)



The [American Council for an Energy-Efficient Economy](#), a nonprofit, 501(c)(3) organization, acts as a catalyst to advance energy efficiency policies, programs, technologies, investments, and behaviors. It believes that the United States can harness the full potential of energy efficiency to achieve greater economic prosperity, energy security, and environmental protection for all its people. One of its signature products is the State Energy Efficiency Scorecard, released annually in October.

### National Association of State Energy Officials (NASEO)



The [National Association of State Energy Officials](#) (NASEO) is the only national non-profit association for the governor-designated energy officials from each of the 56 states and territories. Formed by the states in 1986, NASEO facilitates peer learning among state energy officials, serves as a resource for and about State Energy Offices, and advocates the interests of the State Energy Offices to Congress and federal agencies. NASEO hosts national and regional [meetings](#) throughout the year.

### National Conference of State Legislatures (NCSL)



Formed in 1975, the [National Conference of State Legislatures](#) (NCSL) is committed to the success of all state legislators and staff. Its mission is to improve the quality and effectiveness of state legislatures, promote policy innovation and communication among state legislatures, and ensure state legislatures have a strong, cohesive voice in the federal system.

### National Governors Association (NGA) Center for Best Practices



The National Governors Association Center for Best Practices (NGA Center) develops innovative solutions to today's most pressing public policy challenges and is the only research and development firm that directly serves the nation's governors. The NGA Center for Best Practices Environment, Energy & Transportation Division (EET) provides information, research, policy analysis, technical assistance and resource development for governors and their staff in the areas of energy, environment and transportation sectors. The division focuses on several issues, including improving energy efficiency, enhancing the use of both traditional and alternative fuels for electricity and transportation, developing a modern electricity grid, expanding economic development opportunities in the energy sector, protecting and cleaning up the environment, exploring innovative financing mechanisms for energy and infrastructure and developing a transportation system that safely and efficiently moves people and goods.

### Regional Energy Efficiency Organizations (REEOs)

The [Regional Energy Efficiency Organizations](#) (REEOs) are a national network of independent non-profit organizations that work through funded partnerships with DOE, as well as with utilities, third-party program administrators, public officials, various advocacy groups, businesses and foundations. Each non-profit group varies in funding, scope, activities and governance. REEOs coordinate regularly with one another to leverage learnings, relationships and find future opportunities for coordination and collaboration with one another to benefit the DOE, utilities, energy consumers and businesses.

The REEOs provide technical assistance to states and municipalities to support efficiency policy development and adoption, along with program design and implementation. The REEOs actively contribute to and reference materials and initiatives of DOE and the [SEE Action Network](#) to help states and local governments take energy efficiency to scale and achieve all cost-effective energy efficiency by 2020.

**There are six REEOs in total:**

[Northeast Energy Efficiency Partnerships](#) (NEEP)

[The Midwest Energy Efficiency Alliance](#) (MEEA)

[The Northwest Energy Efficiency Alliance](#) (NEEA)

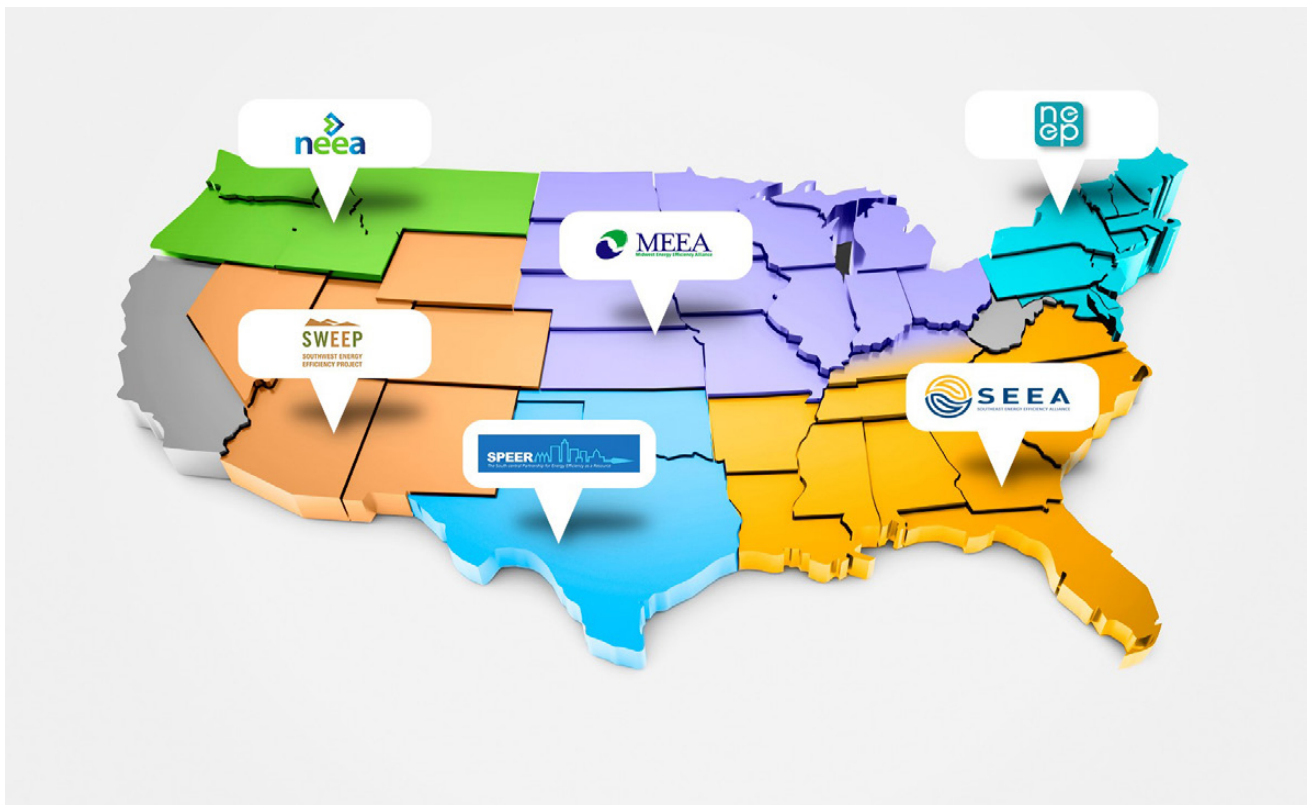
[The Southeast Energy Efficiency Alliance](#) (SEEA)

[The Southwest Energy Efficiency Project](#) (SWEET)

[The South-Central Partnership for Energy Efficiency as a Resource](#) (SPEER)

California and West Virginia are not currently part of one of the REEOs.

**Figure 4-1. REEOs Map**



# Appendices

**Appendix A: State Energy Program Fact Sheet**

**Appendix B: PVE Funding Overview**

**Appendix C: State Energy Program Success Story Template**

**Appendix D: State Energy Program Annual Summary**

**Appendix E: SEP Calendar At-A-Glance**

**Appendix F: DOE Contacts List**

**Appendix G: Monitoring Instrument**

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Appendix A:

## State Energy Program Fact Sheet

June 2016

## Overview

Over the last 30 years, the U.S. Department of Energy's [State Energy Program](#) (SEP) has provided funding and technical assistance to states, territories and the District of Columbia to advance their clean energy economy and maximize the benefits of energy efficiency through technology deployment. States demonstrate leadership through their unique authorities to convene, develop, implement and reform energy policy and market infrastructure. [State Energy Offices](#) use SEP funds to develop state plans that advance energy solutions through regional networks, strategic energy planning, executive orders, legislation and local ordinances, management of local retrofits and land-use plans. SEP helps states address their implementation and financing barriers to enable accelerated deployment of replicable, cost-effective, clean energy technologies. The SEP also helps states prepare for natural disasters and improve the security of the energy infrastructure. Specifically, SEP helps states meet federal requirements to prepare an energy emergency plan and develop individual state energy plans.

## Funding

Since 2010, SEP has invested \$209 million in annual formula funds and \$61 million in competitive funds for states. States use their formula grants to develop state strategies and goals to address their energy priorities, all while providing a 20% match. State Energy Offices are a vital resource for delivering energy savings, addressing national energy goals, and coordinating energy-related emergency preparedness across the nation. Examples include:

- ❖ *Alabama* implemented a buildings energy efficiency program which saved \$7.4 million in energy costs within the first two years.
- ❖ *Illinois* installed geothermal heating and cooling systems in schools resulting in more than 118,000 Btus of natural gas saved annually, enough to heat approximately 125 homes for a year.
- ❖ *Oregon* developed a Residential Energy Tax Credit Program for homeowners and renters which leverages \$153 of private funds for every \$1 of SEP funds expended on retrofits. The program issued 25,000 tax credits worth \$1.2 billion.

In addition to annual formula funding, SEP sets aside a portion of its yearly congressional appropriation for [competitively awarded](#) funding opportunities which allows states to compete for funding designed to meet the states' and Department's nationally-focused energy initiatives. In a typical year, SEP chooses Areas of Interest on which to focus, and states may apply for funding under any area. In 2014–2015, SEP Competitive Awards in the amount of \$5 million were awarded to applicants seeking to expand and evolve successful past programs under two Areas of Interest:

- ❖ State Energy Planning
- ❖ Opportunities for Innovative Energy Efficiency and Renewable Energy Programs: (eight applications currently under consideration)

### SEP Funding History (2010-2016)

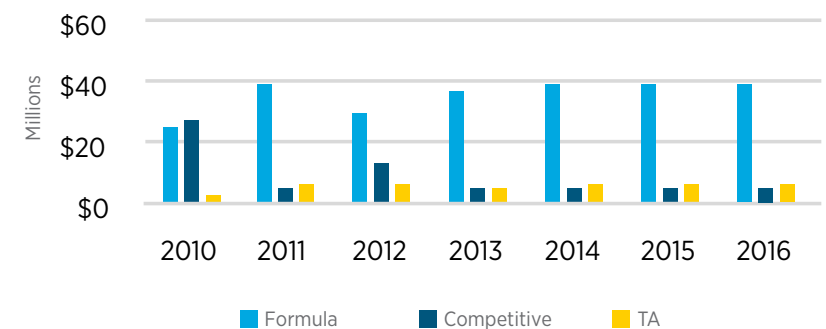


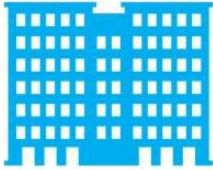
Chart does not include allocations from the American Recovery and Reinvestment Act.

## Examples of Competitive Award Focus (2012-2015):

Focus & Areas of Interest	DOE Funding	Awardees
<b>Commercial/Industrial Buildings</b>		
FY 12 - Advancing EE in Public Buildings	\$7,936,162	13 States: AZ, HI, IL, IA, MD, MA, MS, MO, NJ, NM, NY, RI, WI
FY 13 - Clean Energy Economic Opportunity Roadmaps	\$1,059,917	3 States: MI (w/OH), NC (w/SC, GA & VA as partners), WA
FY 13 - Advancing Industrial EE	\$750,816	8 States: AL, IA, KY, MI, MS, OR, TX, WI
<b>Subtotal</b>	<b>\$9,746,895</b>	
<b>Finance</b>		
FY 12 - Deploying Fee-based Self-funded Public Facility Programs	\$5,049,249	8 States: AK, CA, KY, MN, NC, NV, VA, WA
FY 13 - Driving Demand for Public Facility Retrofits	\$2,099,448	6 States: IA, MA, MD, SC, TN, WI
<b>Subtotal</b>	<b>\$7,148,697</b>	
<b>Stimulating Energy Efficiency Action</b>		
FY12 - FY13	\$1,473,500	3 States: AR, MS, and WA
<b>Subtotal</b>	<b>\$1,473,500</b>	
<b>Advancing State Planning, Policies and Programs</b>		
FY 14 & FY15 - State Energy Planning	\$3,757,335	9 States: ID (w/ CA, CO, MT, NV, OR, UT, WA as partners), IL, ME, MI, MN, NY (w/ME, MA and RI as partners), SC (w/NC); TN (w/GA, MI, MN, OR and PA as partners) and VA
FY 14 & FY15 - Opportunities for Innovative EERE Practices	\$6,179,142	18 States: AL, AR, AK, KY, MO, MN (2), NE, NH, NM (2), TN (w/AL as partner)TX, VA (w/KY and GA as partners), VT (w/NH as partner) (w/CT, ME, MA, NH, NY, and RI as partners) (3), and WA (w/CA and OR as partners)
<b>Subtotal</b>	<b>\$9,936,477</b>	
<b>Total</b>	<b>\$28,305,569</b>	

## Program Outcomes and Benefits:

Between 2010 and 2015, SEP formula and competitive funding implemented by the states and territories has resulted in many outcomes and benefits, including the following:



- Increased the energy efficiency of more than 19,000 buildings (115.8 million square feet) through the installation of energy upgrades;
- Executed Energy Savings Performance Contracts to undertake retrofit projects in public facilities, such as state and municipal buildings, correctional facilities, water districts, and educational institutions.



- Supported the installation of more than 40,000 renewable energy systems (total capacity of 8.6 million kilowatt hours);
- Assisted industry partners to become more economically competitive by identifying barriers to industrial energy efficiency;
- Coordinated with local utilities to establish and implement complementary efficiency programs.



- Educated 2.6 million people in performing energy audits and upgrades through more than 33,000 workshops, training sessions and/or webinars;
- Demonstration and piloting of innovative energy projects with the private sector, K-12 schools and universities;
- Developed implementation models that serve as “how-to” guides for other states who wish to replicate the programs that are achieving energy efficiency savings.

## American Recovery and Reinvestment Act of 2009

In 2009, President Obama enacted the American Recovery and Reinvestment Act (ARRA). Through this legislation, SEP received \$3.1 billion to issue grants to 56 U.S. states and territories. Starting in 2009, these grants allowed states to invest in energy efficiency and renewable energy-related programs and technologies while stimulating job creation and economic growth. Per grant requirements, states were required to write grant summaries at the end of the grant period. These documents highlighted significant project outcomes, lessons learned, and best practices.



ARRA was a significant era in the SEP history with numerous successes. Three grantee-reported metrics attest to the accomplishments of ARRA:

- ❖ More than 105,000 buildings retrofitted, encompassing 731 million square feet.
- ❖ Approximately 33,000 renewable energy systems were installed, a total capacity of 650,000 kilowatts.
- ❖ Nearly 22,000 workshops, training, and education sessions were conducted, with approximately 575,000 attendees. Attendees were trained on performing energy audits and upgrades and installing renewable energy systems. This work supports the growing demand for specialists in the energy efficiency and renewable energy sector.

SEP played a central role in implementing ARRA by accelerating the deployment of a unique, large economic stimulus, resulting in sustainable energy efficiency programs and policies across the nation. This support has advanced the clean energy economy and maximized the benefits of energy efficiency through technology deployment.



# Appendix B:

## PVE Funds

*PVE Funding History At-A-Glance* . . . . . B-3

*Petroleum Violation Escrow Funds* . . . . . B-3

*Chevron Settlement* . . . . . B-3

*Warner Amendment* . . . . . B-4

*Exxon Case* . . . . . B-4

*Stripper Well Agreement* . . . . . B-5

*Diamond Shamrock* . . . . . B-5

**Table 1. PVE Funding History At-A-Glance**

Funding Distribution	Chevron	Warner Amendment	Exxon	Stripper Well	Diamond Shamrock
	<b>\$25 million, 1981</b>	<b>\$200 million, 1983</b>	<b>\$2.1 billion, 1986</b>	<b>\$1.5 billion, 1986</b>	<b>\$48.6 million, 1986</b>
Allowable Uses	Ride-sharing, public transportation, building energy audits, grants or loans for weatherization and energy conservation equipment installation, energy assistance programs, highway and bridge maintenance and repair, airport maintenance and improvement, reduction in airport user fees, energy conservation research.	SECP, EES, Weatherization Assistance Program, Institutional Conservation Program, Low-Income Home Energy Assistance Program Block Grant.  No administrative expenses.	Same programs as Warner Amendment.  No administrative expenses.	Same programs as Warner Amendment and Chevron settlement or any program approved by DOE SEP.  Up to 5% for administrative expenses.  Can be used as nonfederal match for Federal grant funds.	Same as Stripper Well.  Any amount, up to entire refund, for administrative expenses not to exceed 5% of states total PVE receipts.  Can be used as non-federal match for Federal grant funds.
Regulations / Reporting Requirements*		All regulations and reporting requirements for the applicable Federal programs apply.  Funds cannot be spent outside the grant programs.	Same as Warner Amendment.  State required to submit annual report to DOE and the Court 30 days after close of State's fiscal year.  Funds cannot be spent outside the grant programs.	If State puts funds into Federal program, all regulations and reporting requirements apply.  State required to submit annual report to DOE and the Court 30 days after close of State's fiscal year.  For funds spent outside the grant programs: States send proposals to DOE Headquarters and the Court.  Headquarters committee reviews State proposals for consistency with settlement agreement.  DOE notifies State whether proposal is consistent.	Same as Stripper Well.  For funds spent outside the grant programs; States are not required to notify DOE before spending funds.

Approval Process: SEP must approve all PVE funds put into the State Plans, regardless of source, as part of the State Plan for the applicable program.

\* States may file one annual report to DOE and the court covering Exxon, Stripper Well, and Diamond Shamrock funds.

# Appendix B: PVE Funding History

## Petroleum Violation Escrow Funds

Beginning in 1983, additional funds became available to the States as a result of alleged oil company violations of the Federal oil pricing controls in place from 1973 to 1981. These funds are known as Petroleum Violation Escrow (PVE) funds or oil-overcharge funds.

PVE funds must be used to provide indirect restitution to energy consumers through a variety of energy-related programs. Each State determines how it wishes to allocate the funds across eligible programs. The States may use these funds and the interest earned on them to finance SEP activities. PVE funds allocated to the SEP are treated as appropriated funds and are subject to program requirements. They are not, however, subject to the cost-sharing requirement or the 20% limitation on equipment purchases under SEP.

PVE funds became available to the States through several mechanisms:

- Settlements (for example, Chevron, Diamond Shamrock, and Stripper Well).
- Legislation (the Warner Amendment).
- Other court actions (Exxon).

## Chevron Settlement

The first major case, involving the Standard Oil Company of California (Chevron), was settled in the fall of 1981. This case is important for two reasons. The *Chevron Consent Order* was the first major settlement to use the method of indirect restitution that would be used in the other major cases to follow. Also, the *Chevron Consent Order* specified nine general categories of allowed expenditures that were related to energy use. These categories were:

- Ride-sharing.
- Public transportation.
- Building energy audits.
- Grants or loans for weatherization and energy conservation equipment installation.

- Energy assistance programs.
- Highway and bridge maintenance and repair.
- Airport maintenance and improvement.
- Reduction in airport user fees.
- Energy conservation research.

Under the *Chevron Consent Order*, the States received approximately \$25 million, according to a formula based on the estimated volume of the product sold by Chevron within each State during the period of the price controls.

## Warner Amendment

In 1983, the *Warner Amendment to the Further Continuing Appropriations Act* (P.L. 95-105) affected a one-time appropriation of \$200 million. The Federal government distributed these PVE funds to the States using a formula based on the estimated volume of covered oil product sold within the State during the period of price controls. The *Warner Amendment* required these funds be used by the States "as if received" under one or more of the following five Federal energy programs:

- State Energy Conservation Program (SECP).
- Energy Extension Service (EES).
- The Institutional Conservation Program (ICP).
- The Weatherization Assistance Program (WAP).
- The Low-Income Energy Assistance Block Grant (administered by the Department of Health and Human Services).

The *Warner Amendment* directed that States cannot use funds for administrative purposes.

DOE issued *Ruling 1983-1* in February 1984 to outline the procedures for implementing the *Warner Amendment*. Among other things, *Ruling 1983-1* established that, once a State allocated *Warner Amendment* funds to a program, all the rules, regulations, and reporting procedures governing that program would apply. The one exception, however, is that State matching requirements for SECP and EES were waived for the PVE funds.

## The Exxon Case

A U.S. District Court decision in 1983 found Exxon Corporation liable for overcharges on domestic crude oil. In March 1986, after several years of litigation, the decision of the District Court was upheld, and the Exxon case was settled. The court directed the Exxon Corporation to pay DOE \$2.1 billion, which was disbursed to the states under a formula similar to the one used in the *Warner Amendment* case. The Exxon court order adopted the terms specified in the *Warner Amendment* and directed States to use these funds in any or all of the five programs previously listed. No funds were to be used for administrative expenses. The court stated DOE *Ruling 1983-1* also applied to the use of Exxon funds and States should file an annual report with DOE and the court describing how the funds had been used during the course of the year.

## Stripper Well Agreement

In July 1986, the U.S. District Court in Kansas issued its *Opinion and Order Approving Multidistrict Litigation (MDL) 378*, the *Stripper Well Agreement*. DOE, the States, petroleum refiners and resellers, and others involved with the issue agreed to the settlement, which covered 42 separate oil-overcharge cases. With a few specific exceptions, the agreement provided terms and conditions for all future crude oil overcharge cases.

The *Stripper Well Agreement* broadened the scope of activities eligible for funding beyond the *Warner Amendment*. (Particular restrictions based on the circumstances of each case may apply.) The agreement allows the States a much greater degree of flexibility in how the funds can be used. Stripper Well funds can be used in:

- Any program that falls into the nine major categories listed in the *Chevron Consent Order*.
- Any of the five Federal programs listed in the *Warner Amendment*.
- Any program approved by DOE.

The agreement does require the States to notify DOE and the court 30 days before any money is spent and to file an annual report with DOE and the court describing how the funds were used during the year. The agreement also allows States to use up to 5% of the funds for administrative costs.

On March 6, 1987, DOE's Economic Regulatory Administration issued a memorandum outlining DOE's opinion that PVE funds received under the terms of the *Stripper Well Agreement* are not considered Federal funds. States can use PVE funds as "nonfederal" match for Federal grant funds.

## Diamond Shamrock

In 1986, the Diamond Shamrock case was also settled, sending \$48.6 million to the States. The provisions of the *Diamond Shamrock* settlement regarding allowable use of the funds are nearly identical to the *Stripper Well Agreement*. One significant difference is that States can use any amount, up to their entire Diamond Shamrock refund, for administrative expenses, as long as that amount does not exceed 5% of the State's total PVE receipts. Diamond Shamrock funds can also be used by the States as a "nonfederal" match for Federal grant funds.

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Appendix C:

## SEP Success Story Template

# State Energy Program Success Story Template

---

**SEP Funding Mechanism:** *(e.g. Formula, Competitive, ARRA)*

**Project Officer/SEO POC:**

**Total SEP Investment:**

**Period of Performance:** *(or project timeframe)*

**Location:** *(primary location where the work took place)*

**Project/Grantee Goals:**

**Impact in 1-2 sentences:** *(e.g. energy/energy-cost savings, economic impact, widespread adoption of new technology or best practice, etc.)*

**Quote?** *(did you obtain a quote from the project partner? Please ensure use of the quote is approved by partner before providing it here)*

**Photos** *(for any photos included, please include a description of what is happening in the image, including names of people, technologies, brands, etc.)*

## Success Story Summary (Alternative to Template):

If templates and forms are not your thing, feel free to provide a brief summary (4-6 sentences) describing the project with all the key elements above included.

Example:

*“Arizona invested SEP formula funds in developing a 2014 Governor’s Award of Excellence in Energy Education program to recognize outstanding energy education programs in K-12 schools, exemplary energy educators, and students involved in energy education in the classroom or in the community. The award program was established in support of the Governor’s plan to prepare the next generation of energy professionals through energy education. As part of the program, Arizona developed a nomination application, conducted public outreach, and developed judging criteria and a selection process.”*



Appendix D:

## SEP Annual Summary Template

# STATE ENERGY PROGRAM ANNUAL SUMMARY TEMPLATE

This template is provided for your convenience. Although the use of this template is not required, the data elements within the template are.

**STATE:**  
**STATE ENERGY ORGANIZATION: GRANT**  
**NUMBER:**  
**BUDGET AMOUNT FOR PY [enter year]:**

PLEASE DESCRIBE ONE OR TWO HIGH-IMPACT ACCOMPLISHMENTS FOR EACH OF YOUR PY14 MARKET TITLES AND LIST ANY ASSOCIATED QUANTITATIVE OR QUALITATIVE METRICS (if applicable). For example, sq. ft. retrofitted, renewable capacity increased, kW/hours saved, dollars invested in public building energy efficiency retrofits, outreach activities, trainings, etc.

PLEASE DESCRIBE ONE OR TWO INSTANCES WHERE A SIGNIFICANT BARRIER WAS IDENTIFIED AND THE SOLUTION YOU USED TO OVERCOME THE BARRIER.

PLEASE DESCRIBE ONE OR TWO INSTANCES WHERE SUCCESS WAS NOT FULLY ACHIEVED AND NOTE LESSONS LEARNED.

PLEASE INCLUDE A DESCRIPTION OF HOW YOU HAVE USED SEP FORMULA FUNDS (federal, cost match, and pledged PVE) TO FUND STAFF ACTIVITIES THAT EXPAND THE USE OF ENERGY EFFICIENCY AND PRODUCTION OF RENEWABLE ENERGY OR OTHER PRIORITY INITIATIVES. Examples of activities include: coordination with other state and local entities of government, utilities, and PUCs; improvement of energy emergency planning and response; enhancement of the resilience of the energy systems or buildings; expansion of the use of domestic alternative transportation fuels, etc.

PLEASE INCLUDE A DESCRIPTION OF SEP FUNDED STAFF ACTIVITIES, AS THEY RELATE TO LEGISLATIVE OR POLICY-MAKING EFFORTS, THAT EXPAND THE USE OF ENERGY EFFICIENCY AND PRODUCTION OF RENEWABLE ENERGY OR OTHER POLICY INITIATIVES (if applicable). For example, you may cite executive orders, emission reduction targets, energy savings goals, or legislative testimony.

PLEASE IDENTIFY ANY OTHER SOURCES OF FUNDING THAT WERE LEVERAGED DUE TO THE USE OF SEP FORMULA GRANT FUNDS. PLEASE CITE SPECIFIC ACTIVITIES OR PROJECTS AND THE TOTAL ESTIMATE OF FUNDS LEVERAGED (if applicable).

PLEASE SHARE ANY RECOMMENDATIONS YOU HAVE FOR DOE TO IMPROVE THE FORMULA GRANT PROCESS.

IF YOU HAVE UNSPENT FUNDS, PLEASE EXPLAIN WHY ALL OF YOUR PY14 FORMULA ALLOCATION WAS NOT UTILIZED.

PLEASE PROVIDE ANY ADDITIONAL COMMENTS OR FEEDBACK.

Appendix E:

## SEP Calendar At-A-Glance

(See Reports List Below)

# SEP Calendar At-A-Glance

(\* Timing Subject To Change)

<b>January</b>	Quarterly Reports Due 1/30 QPR, FFR, FPR (if applicable)	SEP Competitive Funding Opportunity Announcement (FOA) Released *
<b>February</b>		NASEO Winter Meeting Formula Grant Guidance and ALRD Released *
<b>March</b>	Final Report / Close-Out Info ** SEP Competitive FOA Proposals Due *	Annual Indirect Cost Proposal Due 3/31 for 10/1 States (If DOE is Cognizant)
<b>April</b>	Quarterly Reports Due 4/30 QPR, FFR, FPR (if applicable)	NASEO Regional Meetings: Southeast, Northeast, Midwest, Western, Central, Mid-Atlantic Formula Grant Proposals Due 4/30 from July 1 States * Davis Bacon Report Due 4/25 (SEP ARRA funds only)
<b>May</b>		Formula Grant Proposals Due 5/30 from States with Oct 1 - Sept 30 Fiscal Years* Formula Grant Proposals Negotiated and Awarded for States with July 1 - June 30 Fiscal Years
<b>June</b>	Final Report / Close-Out Info **	Formula Grant Proposals Negotiated and Awarded for TX and States with Oct 1 - Sept 30 Fiscal Years
<b>July</b>	Quarterly Reports Due 7/30 QPR, FFR, FPR (if applicable)	Annual PVE Report Due 7/30 for 7/1 States
<b>August</b>		SEP Competitive FOA Awards Announced * Formula Grant Proposals Negotiated and Awarded for TX and States with Oct 1 - Sept 30 Fiscal Years
<b>September</b>	Annual Historic Preservation (NHPA) Reports Due 9/15	Final Report / Close-Out Info ** NASEO Annual Conference Annual Summary Report Due 9/30 for the 7/1 States
<b>October</b>	Quarterly Reports Due 10/30 QPR, FFR, FPR (if applicable)	Davis Bacon Reports Due 9/25 (SEP ARRA funds only) Annual PVE Report Due 10/30 for 10/1 States
<b>November</b>		
<b>December</b>	Final Report / Close-Out Info ** Annual Summary Report Due 12/30 for 10/1 States	Notice of Intent Published for next SEP Competitive FOA * Annual Indirect Cost Due for 7/1 States (if DOE Cognizant)

## Reports Reference

**Program/Quarterly Progress Reports (QPR):** Required quarterly within 30 days of end of quarter and within 90 days after the expiration or termination of award (submit through PAGE).

**Federal Financial Report (FFR/SF-425):** Required quarterly within 30 days of end of quarter and within 90 days after the expiration or termination of award (submit through PAGE).

**ARRA-funded Financial Programs Report (FPR):** (applicable to Grantees with ARRA-funded financing programs): Required quarterly (submit through PAGE).

**Annual Indirect Cost Proposal:** If DOE is recipient's cognizant agency, required annually 180 days after fiscal year end. Submit in PAGE document library and to Project Officer.

**Historic Preservation (NHPA):** Required annually on 9/15 for the 9/1 - 8/31 period (submit in PAGE).

**Davis Bacon (ARRA funds only):** Required semi-annually for the 10/1 - 3/31 and 4/1 - 9/30 periods, within 25 days of end of period. See Wage Rate Requirements term in Appendix A of Annual award terms and conditions.

**Closeout Reporting (SF-428 and 428B Final Property Report):** Required 90 days after the expiration or termination of award (Submitted to DOE PO).

**Annual Summary Report:** Due 90 days after the end of each grant budget period.

**Special Status Reports:** Required only as needed, see Grant Reporting Requirements Checklist.

**Final Reports and Close-Out Information (Annual Formula and Competitive):** Final Reports and Close-out information are due 90 days after the end of each grant project period—typically at the end of a calendar quarter.

Appendix F:  
**DOE Contacts List**

## State Energy Program Contact List

Annual Formula State Grants	Team Member	E-Mail	Telephone
Wyoming	<b>Pete Davis</b> , Lead Energy Project Specialist, Project Officer	<a href="mailto:pete.davis@ee.doe.gov">pete.davis@ee.doe.gov</a>	720-356-1606
Guam, Hawaii, New Hampshire, Commonwealth of the Northern Mariana Islands, Ohio, Vermont	<b>Kelsie Bell</b> , Project Officer	<a href="mailto:kelsie.hammond@ee.doe.gov">kelsie.hammond@ee.doe.gov</a>	720-356-1643
Connecticut, Maine, Massachusetts, New York, Rhode Island	<b>Henry Fowler</b> , Project Officer	<a href="mailto:henry.fowler@ee.doe.gov">henry.fowler@ee.doe.gov</a>	720-356-1595
Alaska, Colorado, Idaho, Oregon, Washington	<b>Tom Fuller</b> , Project Officer	<a href="mailto:tom.fuller@ee.doe.gov">tom.fuller@ee.doe.gov</a>	720-356-1627
Illinois, Indiana, Iowa, Kentucky, Michigan, Minnesota, Missouri, Wisconsin	<b>Sharon Gill</b> , Project Officer	<a href="mailto:sharon.gill@ee.doe.gov">sharon.gill@ee.doe.gov</a>	720-356-1593
Delaware, District of Columbia, Maryland, New Jersey, North Carolina, Pennsylvania, South Carolina, Virginia, West Virginia	<b>Gordon Gore</b> , Project Officer	<a href="mailto:gordon.gore@ee.doe.gov">gordon.gore@ee.doe.gov</a>	720-356-1592
American Samoa, Arizona, California, Nevada, New Mexico, Utah	<b>Julie Howe</b> , Project Officer	<a href="mailto:julie.howe@ee.doe.gov">julie.howe@ee.doe.gov</a>	720-356-1628
Kansas, Louisiana, Montana, Nebraska, North Dakota, Oklahoma, South Dakota, Texas	<b>Randall Lamp</b> , Project Officer	<a href="mailto:randall.lamp@ee.doe.gov">randall.lamp@ee.doe.gov</a>	720-356-1631
Alabama, Arkansas, Florida, Georgia, Mississippi, Puerto Rico, Tennessee, Virgin Islands	<b>John Merenda</b> , Project Officer	<a href="mailto:john.merenda@ee.doe.gov">john.merenda@ee.doe.gov</a>	720-356-1620
Competitive Awards	Team Member	E-Mail	Telephone
Maine, New York, Virginia (2015; AOI 1) Alaska, Minnesota (2015; AOI 2) Michigan, North Carolina, Washington (2013; AOI 4)	<b>Greg Dierkers</b> , Project Officer	<a href="mailto:gregory.dierkers@ee.doe.gov">gregory.dierkers@ee.doe.gov</a>	202-287-1921
Mississippi, Texas, Alabama, Kentucky (2013; AOI 1)	<b>Henry Fowler</b> , Project Officer	<a href="mailto:henry.fowler@ee.doe.gov">henry.fowler@ee.doe.gov</a>	720-356-1595
Iowa, Minnesota, Oregon, Wisconsin (2013; AOI 1) Wisconsin (2013; AOI 3)	<b>Tom Fuller</b> , Project Officer	<a href="mailto:tom.fuller@ee.doe.gov">tom.fuller@ee.doe.gov</a>	720-356-1627
Idaho, Illinois, Michigan, Minnesota, South Carolina (2014; AOI 1) Arkansas, Mississippi (2013; AOI 2) Washington (2012; AOI 2)	<b>Lauren Hall</b> , Project Officer	<a href="mailto:lauren.hall@ee.doe.gov">lauren.hall@ee.doe.gov</a>	202-287-1870
Arizona (2012; AOI 1)	<b>Julie Howe</b> , Project Officer	<a href="mailto:julie.howe@ee.doe.gov">julie.howe@ee.doe.gov</a>	720-356-1628
Tennessee (2015; AOI 1) New Mexico (2014; AOI 2) Iowa, Massachusetts, Maryland, South Carolina, Tennessee (2013; AOI 3) Hawaii, Iowa, Massachusetts, Maryland, Missouri, Mississippi, New Jersey, New York, Rhode Island (2012; AOI 1) Kentucky, North Carolina, Virginia (2012; AOI 3)	<b>Amy Kidd</b> , Project Officer	<a href="mailto:amy.kidd@ee.doe.gov">amy.kidd@ee.doe.gov</a>	202-287-1306
Nebraska, New Hampshire, New Mexico, Tennessee (2015; AOI 2) Minnesota, Vermont - DG (2014; AOI 2) New Mexico (2012; AOI 1)	<b>Charles Satterfield</b> , Project Officer	<a href="mailto:Charles.Satterfield@ee.doe.gov">Charles.Satterfield@ee.doe.gov</a>	720-356-1592
Vermont (2015; AOI 2) Vermont - B&D (2014; AOI 2)	<b>David St. Jean</b> , Project Officer	<a href="mailto:David.St.Jean@ee.doe.gov">David.St.Jean@ee.doe.gov</a>	202-287-1620
Alabama, Arkansas, Kentucky, Virginia, Texas, Washington (2014; AOI 2) Missouri (2015; AOI 2)	<b>Corey Vezina</b> , Project Officer	<a href="mailto:corey.vezina@ee.doe.gov">corey.vezina@ee.doe.gov</a>	202-287-1404
Washington (2012; AOI 3)	<b>John Winkel</b> , Project Officer	<a href="mailto:john.winkel@ee.doe.gov">john.winkel@ee.doe.gov</a>	720-356-1630
Policy and Technical Assistance	Team Member	E-Mail	Telephone
Directs WIP Policy & Technical Assistance Activities	<b>Jenah Zweig</b> , Policy and Technical Assistance Manager	<a href="mailto:jenah.zweig@ee.doe.gov">jenah.zweig@ee.doe.gov</a>	
State Engagement, Better Buildings Energy Savings Performance Contracting Accelerator, Water and Wastewater, Better Buildings	<b>Alice Dasek</b> , Project Specialist	<a href="mailto:alice.dasek@ee.doe.gov">alice.dasek@ee.doe.gov</a>	202-287-1595
Engagement with Regional Energy Efficiency Organizations (REEOs), Better Buildings, Budget, State and Local Solution Center, Data Management	<b>Adam Guzzo</b> , Project Specialist	<a href="mailto:adam.guzzo@ee.doe.gov">adam.guzzo@ee.doe.gov</a>	202-287-1689
K-12 School District Engagement, Better Buildings Outdoor Lighting Accelerator, STEM and Education	<b>Crystal McDonald</b> , Project Specialist	<a href="mailto:crystal.mcdonald@ee.doe.gov">crystal.mcdonald@ee.doe.gov</a>	202-287-1799
Local Government Engagement, Better Buildings, Strategic Energy Planning, and Benchmarking Policy	<b>Sarah Zaleski</b> , Project Specialist	<a href="mailto:sarah.zaleski@ee.doe.gov">sarah.zaleski@ee.doe.gov</a>	202-287-1892
Clean Energy Financing Strategies	<b>Eleni Pelican</b> , Project Manager	<a href="mailto:eleni.pelican@ee.doe.gov">eleni.pelican@ee.doe.gov</a>	202-586-4922
Local Government Engagement, Building Energy Efficiency and Clean Energy, Low-Income Communities	<b>Jonah Steinbuck</b> , Policy Advisor	<a href="mailto:jonah.steinbuck@ee.doe.gov">jonah.steinbuck@ee.doe.gov</a>	202-586-0844

Appendix G:

## State Energy Program

## Onsite Monitoring Instrument

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## SITE VISIT SUMMARY

**Grantee (State):** \_\_\_\_\_ **Date of Visit:** \_\_\_\_\_

**Contact Person:** \_\_\_\_\_ **Position Title:** \_\_\_\_\_

**Telephone Number:** \_\_\_\_\_ **Date of Last Visit:** \_\_\_\_\_

**Monitor (s):** \_\_\_\_\_

**Other Grantee Staff Present (also list their titles):**

**Comments:**

## I. REPORTING OVERVIEW

**Program/Quarterly Progress Reports (QPR):** Required quarterly within 30 days of end of quarter and within 90 days after the expiration or termination of award (submit through PAGE)

**Financial Reporting:** (SF-425): Required quarterly within 30 days of end of quarter and within 90 days after the expiration or termination of award (submit through PAGE).

**ARRA Financial Programs Report (FPR):** (applicable to Grantees with ARRA-funded financing programs): Required quarterly (submit through PAGE).

**Annual Indirect Cost Proposal:** If DOE is recipient's cognizant agency, required annually 180 days after fiscal year end. Submit to PAGE (document library).

**Historical Preservation:** Required annually on 9/15 for 9/1 to 8/31 period (submit through PAGE).

**Davis Bacon:** Required semi-annually for 10/1 – 3/31 and 4/1 – 9/30 periods, within 25 days of end of period. See Wage Rate Requirements term in Appendix A of Annual award terms and conditions.

**Closeout Reporting:** (SF-428 and 428B Final Property Report): Required 90 days after the expiration or termination of award (Submitted to DOE PO).

**Special Status Reports:** Required only as needed.

## II. PROGRAMMATIC AND ADMINISTRATIVE MONITORING

### 1. Organization

#### State Organizational Structure and Planning Process:

- a. Provide a brief description of the organization that administers the State Energy Program.

- b. What are the major energy barriers or opportunities facing the State?

- c. What are the State's long and short range goals and objectives and how does the State Energy Program fit into them? What is the planning process to arrive at the goals and objectives? Is the Governor/Legislature involved in the formulation of the goals and objectives? Could these goals and objectives be accomplished without DOE's assistance?

- d. What is the process for the development of the State Plan?

- e. Are there external or constituency groups involved in the agency's planning process? How does the SEP staff participate?

- f. Have you had any organizational changes this year? Do you foresee any upcoming changes in your agency?

- g. Does the description provided in the State Plan for all personnel paid for with grant funds match the organization chart?

- h. Is there an appropriate staffing level and balance among staff (administrative, financial, etc.)?

## 2. General Administrative and Program Management

### Approach:

- a. What instruments and procedures are in place and used by the State to ensure compliance with program objectives and Federal regulations and policies, including NEPA?

- b. How successful has the Grantee been in achieving EAct reductions of 25% by 2012?

- c. How has the State worked with other States to accomplish EAct's goals?

- d. How is the State's market transformation effort aligning with the national goal to reduce US oil dependency?

- e. How does the State's plan reflect the enhanced resiliency of our energy system and the promotion of economic vitality?

- f. How is the State approaching program measurement/metrics?

- g. Are there any programmatic activities that need to be further explained?

### Feedback and Reporting:

- a. Are there adequate written procedures for the preparation and submission of DOE reports including timing of reports and requirements of the final report?

- b. Are the current contracts between the State and sub-recipients signed and properly executed by both parties?

- c. Please list current contracts and agreements of the State Energy Office.

- d. What are the major barriers or obstacles, both current and perpetual, which make program administration and management challenging to the State?

- e. Who prepares and submits reports to DOE?

- f. How does the State ensure that quarterly and semi-annual reports are completed accurately and submitted on time to PMC?

- g. Who is responsible to ensure that FSRs reflect the costs incurred as recorded in State records?

- h. Explain the State processes for identifying and correcting performance problems. (If applicable, are there copies of letters and reports to sub-recipients?)

**Record Retention:**

- a. Are there any established procedures to ensure that records will be retained for at least three years after delivery of the final report to DOE?

**Vehicles/Equipment:**

- a. Is there a master inventory list of vehicles and equipment?

- b. What is the process to ensure that purchases/leases meet all financial and program requirements, including DOE prior approval, where applicable?

- c. How many and what types of vehicles, if any, have been purchased, rented, or leased with grant funds in the grant year(s) under review?

- d. Are vehicles/equipment purchased with DOE SEP funds used for other Programs? If so, how is compensation made to the DOE program?

**3. Petroleum Violation Escrow**

- a. How is interest earned on PVE funds accounted for?

- b. How much of each type of PVE funds is remaining? (Note: Please list the amount for each, e.g., Exxon, Shamrock, Stripper Well, etc.)

- c. What plans does the Energy Office have for future expenditures of these funds?

- d. On what date did the Energy Office, or other responsible office, submit the Annual PVE Report for the previous year?

#### 4. Emergency Planning

- a. When the State's emergency plan was last updated?

- b. Has the most recent plan been submitted to DOE? If so, when was the plan submitted?

#### 5. Monitoring/Evaluation

##### Project Management:

- a. Does the State use a monitoring/evaluation guide? Please provide a copy.

- b. Does the monitoring guide include a review of all major areas covered by the sub-recipients contract and the State Plan?

- c. *National Policy Assurances:* Has the State included all National Policy Assurances included in the boilerplate of each Sub-contract paid by SEP Annual dollars (relevant National Policy Assurances include Nondiscrimination Policies, Environmental Policies, Debarment and Suspension, Drug-Free workplace, Officials not to benefit, Hatch Act, Native American Graves Protection, Use of US Flagged Vessels, Research Misconduct, Historic Preservation, Constitution Day, and Trafficking in Persons)?

- d. How often are sub-recipients monitored?

- e. How many sub-recipients were monitored during the period under review and describe the results of each monitoring/evaluation report conducted?

- f. What procedures are in place for the State to ensure that sub-recipients maintain adequate documentation and monitoring of personnel issues such as timesheets, time allocations, and leave?

- g. What processes and procedures are in place for tracking findings from State monitoring visits and ensuring that program goals and objectives are being addressed and accomplished?

- h. What sanctions are imposed for sub-recipients that fail to comply with program requirements?

- i. Are the sub-recipient files complete with completed forms, reports/letters, and documentation of actions required and their resolution(s)?

**Success Stories:**

- a. Are there any recent success stories? Have these been reported?

**Miscellaneous Questions:**

- a. What is the most important role the Project Management Center (PMC) State Energy Program Project Officer can play from the State's perspective?



- b. What changes would the State like to see in the PMC's role in order to be of the greatest assistance to them?

- c. What changes would the State like to see implemented in the program?

- d. Are there issues the State would like to raise with DOE?

- e. How would the sub-recipient respond if asked, "What issue do you have with the State?"

### III: FINANCING PROGRAMS

#### 1. Overview

a. Explain the rationale used for establishing your financing program(s) (ARRA and/or Formula) and answer the questions below:

i. What is the goal and purpose of your loan fund(s)?

ii. What are the eligibility, reporting, and any collateral requirements for borrowers?

iii. What are the loan terms for your program including: (NOTE: If you have more than one loan program, please provide separate answers.)

1. Maximum Length;
2. Maximum and minimum loan amounts;
3. Percent of project funding that the SEP loan can be used for;
4. Administrative fees;
5. Interest rates;
6. Repayment policy.

iv. How are your financing programs administered (i.e., Third Party and/or Self)?

v. What percent of your loan program is used for administrative fees?

vi. How are loan applications reviewed? If there is a loan committee, what is the expertise/background of the team's members? Do you have written guidelines that are used? If so, please provide.

vii. What are the administrative duties and staffing needs associated with your financing programs?

- viii. Are there specific documents utilized by the program such as loan applications, loan disbursement forms, or specialized reporting forms? If so, please provide.

- ix. What is the standard operating procedure for monitoring and tracking individual loans?

- b. Have all existing SEP ARRA funds been segregated from SEP Annual funds and tracked under a separate accounting system?

- c. For SEP ARRA RLF or LLR programs only, is the Grantee complying with all SEP ARRA Terms and Conditions (incorporated into the annual SEP award by reference)?

## 2. Reporting

- a. Please provide the following information. (Note: Please provide a separate response for each loan program. Responses should reflect cumulative figures since the beginning of the program.)
- i. Non-principal income (separately specify interest and fees);
  - ii. Administrative outlays (expenses charged to RLF income);
  - iii. Total outlays;
  - iv. Balance of cumulative RLF loans outstanding (total amount of loans to date given);
  - v. Net program size & funds available;
  - vi. Total administrative expenses as a percent of RLF;
  - vii. Estimated and projected income.

- b. Do you review A-133 audits for RLFs administered by a third-party that receives more than \$500,000 in combined federal funding?

### 3. Loan Defaults and Loans Write-offs

a. Provide a detailed description of your loan default and write-off procedures by answering the questions below:

- i. Are there any state regulations or legislation regarding defaults and write-offs? (Note: Please provide citations to exact requirements.)

- ii. What is your definition of a loan in default?

- iii. How much time must pass for a loan to be declared in default? (e.g., 2 months, 3 months, or 6 months.)

- iv. What actions will be taken to collect loan payments and / or reclaim defaulted loans? (In order of occurrence.)

- v. How much time must pass before a loan in default is written off?

- vi. What are the last actions to be taken, in an attempt to reclaim loan payments, before a loan is written off?

- vii. Is there any other pertinent information that applies to your loan default and write-off process? If so, please provide.

b. Summarize detail for any loans that are in default or that have been written off. (Note: Please provide details specific to each loan.)

i. What was the original amount of the loan and what is the remaining balance?

ii. What was the date the loan was made and what was the date of the last payment?

iii. What is the status of each loan? (e.g., in default, written off, etc.)

iv. What actions did you take when you learned this loan was in default?

Prepared by: \_\_\_\_\_ Date: \_\_\_\_\_



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