



Department of Energy
Washington, DC 20585

SEP PROGRAM NOTICE 10-006D
EFFECTIVE DATE: September 19, 2014

SUBJECT: DOE REPORTING REQUIREMENTS FOR THE STATE ENERGY PROGRAM

REFERENCES

1. OMB Memorandum M-09-21 *Implementing Guidance for the Reports on the Use of Funds Pursuant to the American Recovery and Reinvestment Act of 2009*, June 22, 2009 (Reference 1)
2. OMB Memorandum M-10-08 *Updated Guidance on the American Recovery and Reinvestment Act – Data Quality, Non-Reporting Recipients, and Reporting of Job Estimates*, December 18, 2009 (Reference 2)

PURPOSE

To provide guidance to State Energy Program (SEP) recipients on the requirements of reporting for SEP Recovery Act awards under the American Recovery and Reinvestment Act of 2009 (Recovery Act; Pub. L. No. 111-5) and SEP formula awards under the Energy Policy and Conservation Act, as amended (42 U.S.C. 6321 et seq.). This guidance supersedes **SEP Program Notice 10-006C** and adds the reporting requirements for Recovery Act-funded financial programs that continue to operate after the close of a grantee's Recovery Act grant.

SCOPE

The provisions of this guidance apply to entities (i.e., States and Territories) named in a Notification of Grant Award as the recipients of financial assistance under SEP Recovery Act and or annual formula grant awards.

The quarterly reporting requirements outlined by this guidance are authorized by an approved Information Collection Request, OMB Control Number 1910-5126.

Note: This guidance is supplemental to the guidance issued by the Office of Management and Budget (OMB) in References 1 and 2 for SEP Recovery Act grants. This guidance does not satisfy or replace the requirement to report to OMB in accordance with Section 1512 of the Recovery Act to FederalReporting.gov.



Additionally, this guidance does not address the annual reporting requirement necessary for verification of compliance with historic preservation requirements nor does it address the closeout, Davis Bacon, or annual indirect cost proposal reporting requirements. Guidance from DOE on these topics is issued separately.

LEGAL AUTHORITY

SEP is authorized under the Energy Policy and Conservation Act, as amended (42 U.S.C. 6321 et seq.). All grant awards made under this program shall comply with applicable laws including, but not limited to, the SEP statutory authority (42 U.S.C. § 6321 et seq.), the Recovery Act (Pub. L. No. 111-5) and 10 CFR 420 and 600.

DEFINITIONS

Cost sharing or matching means the value of the third-party, in-kind contributions (i.e., goods or services) and the portion of the costs of a federally assisted project or program not borne by the Federal Government. DOE does not require cost sharing as a precondition of awarding SEP Recovery Act formula funds. Any Recovery Act grant cost sharing volunteered by the recipient is indicated in Block 12 "Total Amount: Cost Share" of the assistance agreement with DOE and is subsequently required to be provided and reported by the recipient as a term of the grant award.

Leveraged funds means an estimate of the third-party, in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal Government, **but does not** include any cost sharing required as a term of the grant award as defined above. While this value is an estimate, these funds should be:

1. Demonstrably applied to the SEP project, not assumed or projected; and
2. Additional to SEP funds (i.e., they would not have been applied to the project in the absence of SEP funds).

Obligations mean the amounts of orders placed, contracts and subgrants awarded, goods and services received, and similar transactions during a given period that will require payment by the prime recipient during the same or a future period. SEP Program Notice series 10-008 details when funds used for financing programs are considered to be obligated. Funds to be expended by a department internal to the prime recipient (i.e., not expended to reimburse a vendor nor award a sub-recipient) and not used for a financing program are considered obligated when they have been committed to the internal department that will expend the funds.

Outlays (expenditures) mean charges made to the project or program. These may be reported on a cash or accrual basis. For reports prepared on a cash basis, outlays are the sum of actual cash disbursement direct charges for goods and services, the amount of indirect expense incurred and the amount of cash advances and payments made to contractors and sub-recipients. For reports prepared on an accrued expenditure basis,

outlays are the sum of actual cash disbursements, the amount of indirect expense incurred and the net increase (or decrease) in the amounts owed by the prime recipient for goods and other property received, for services performed by employees, contractors, sub-recipients, subcontractors, and other payees, and other amounts becoming owed under programs for which no current services or performance are required, such as annuities, insurance claims, and other benefit payments.

Outlays should only capture the expenditure of federal funds and should not include cost sharing or leveraged funds.

Program income means gross income earned by the recipient that is directly generated by a supported activity or earned as a result of the award (see exclusions in 10 CFR 600.124 (e) and (h)). 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, and interest on loans made with award funds. As noted in SEP Program Notice series 10-008, interest earned on SEP funds used for financial programs (e.g., interest earned by a revolving loan fund or loan loss reserve) shall either be expended on other eligible activities or shall be returned to the Federal Government.

Project cost means Federal (i.e., SEP funds), cost sharing, and estimated leveraged funds dedicated to completion of an SEP-funded project. Other Federal funds (i.e., not SEP) applied to the project should not be counted under project cost.

Prime recipients are non-Federal entities that receive SEP funding as Federal awards in the form of grants, loans, or cooperative agreements directly from the Federal government. Federal agencies are not considered prime or sub-recipients.

Sub-recipient means a non-Federal entity that expends Federal awards received from another entity to carry out a Federal program but does not include an individual who is a beneficiary of such a program. Specifically, sub-recipients are non-Federal entities that are awarded SEP funding through a legal instrument from the prime recipient to support the performance of any portion of the substantive project or program for which the prime recipient received the SEP funding. Additionally, the terms and conditions of the Federal award are carried forward to the sub-recipient.

Unliquidated obligations for reports prepared on a cash basis mean the amount of obligations incurred by the prime recipient that has not been paid. For reports prepared on an accrued expenditure basis, they represent the amount of obligations incurred by the prime recipient for which an outlay has not been recorded.

Vendor means a dealer, distributor, merchant, or other seller providing goods or services that are required to conduct a Federal program. Prime recipients or sub-recipients may purchase goods or services needed to carry out the project or program from vendors. Vendors are not awarded funds by the same means as sub-recipients and are not subject to

the terms and conditions of the Federal financial assistance award, except as required by the prime recipient or sub-recipient.

The characteristics of a vendor that make it distinct from a sub-recipient are summarized below. A vendor:

1. Provides the goods and services within normal business operations;
2. Provides similar goods or services to many different purchasers;
3. Operates in a competitive environment;
4. Provides goods or services that are ancillary to the operation of the Federal program; and
5. Is not subject to compliance requirements of the Federal program.

BACKGROUND

The SEP funds provided through both the Recovery Act and annual formula allocations represent a Federal investment in energy efficiency and renewable energy activities designed and implemented by the States and Territories. Concomitant with this investment, the President has pledged that transparency and accountability will be central aims throughout the grant process. DOE will effectively monitor and report the return on investment of SEP funds.

GUIDANCE

SEP recipients fulfill reporting requirements for Recovery Act and annual formula awards by reporting via the Performance and Accountability for Grants in Energy (PAGE) system. Additionally, Recovery Act awards must complete Section 1512 reporting to OMB via FederalReporting.gov. Section 1512 reporting does not apply to annual formula grants where ARRA-funded financing programs are not present.

The below chart indicates which reports are required for each grant type:

System	Report	Recovery Act	Annual Formula No ARRA-funded financing programs	Annual Formula ARRA-funded financing programs present
PAGE	1a. Federal Financial Report (SF-425)	X	X	X
	1b. Performance Report	X	X	X
	1c. Financial Programs Report			X
Federal Reporting .gov	2. Section 1512 Report	X		X

The following sections detail how SEP recipients will:

1. Report required data to DOE quarterly via PAGE
 - a. Federal Financial Report (SF-425)
 - b. Performance Report
 - c. Financial Programs Report
2. Report Section 1512 data to OMB quarterly via FederalReporting.gov.

1. QUARTERLY REPORTING TO DOE VIA PAGE

Who is Required to Report

Prime recipients are responsible for reporting on a quarterly basis. Prime recipients may, at their discretion, delegate the authority for reporting to sub-recipients through the creation of user accounts in PAGE. However, regardless of how recipients decide to manage their reporting processes, prime recipients ultimately retain the responsibility to ensure that reports are submitted accurately and on time.

All prime recipients are required to report quarterly, even if no funds were expended or no progress was made during the reporting period.

Reporting Tool

PAGE (www.page.energy.gov) is the online system that provides all SEP recipients with the ability to electronically submit and manage grant performance and financial information. A host of training tools to familiarize users with PAGE are readily accessible from within the site, including help screens, FAQs, and a number of training videos. These are available to guide recipients through each of the necessary reporting steps.

Reporting Timeline

All quarterly reports are required to be submitted to DOE via PAGE no later than the 30th day of the month following the end of the reporting period.

Required Reports

DOE requires the submission of three major reports from prime recipients who receive SEP grants:

- 1a. **Federal Financial Report (SF-425)**: Submitted quarterly at the level of the prime recipient;
- 1b. **Performance Report**: Submitted quarterly at the level of the market title; and
- 1c. **Financial Programs Report**: Submitted quarterly at the level of the financial program only by grantees who continue to use Recovery Act money to fund financing programs after their Recovery Act grant closes.

1a. Federal Financial Report (SF-425)

The SF-425 reports the aggregate (i.e., at the level of the prime recipient, not the market title) status of financial activity on a quarterly basis. This report is accessed through the "Quarterly Financial Reporting" link in PAGE.

In several instances, the information requested by the SF-425 either matches or corresponds to financial information provided for OMB Section 1512 reporting or DOE Performance reporting. Each of the fields below corresponds to a line on the SF-425.

Federal Cash:

- a. **Cash Receipts**: Automatically determined in PAGE from Federal funds drawn down from the Department of the Treasury's Automated Standard Application for Payments (ASAP) during the reporting period (e.g., January 1 – March 31, 2011).
- b. **Cash Disbursements**: Enter the amount of Federal fund disbursements (such as cash or checks) as of the reporting period end date. Disbursements are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments made to sub-recipients and contractors.
- c. **Cash on Hand**: Automatically calculated in PAGE by subtracting Cash Disbursements (Line b) from Cash Receipts (Line a).

Note: Cash on Hand should never be less than zero. For Line b, "Cash Disbursements," please only report cash disbursements that have been drawn down from ASAP. Please do not report on Line b cash you have disbursed to pay for grant expenses that you have not yet drawn down.

Federal Expenditures and Unobligated Balance:

- d. **Total Federal Funds Authorized**: Automatically determined in PAGE from SEP grant award and subsequent amendments.

- e. Federal Share of Expenditures: Enter the amount of Federal fund expenditures. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense charged; and the amount of cash advance payments and payments made to sub-recipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for:

1. goods and other property received;
2. services performed by employees, contractors, sub-recipients, and other payees; and
3. programs for which no current services or performance are required.

Do not include program income expended in accordance with the deduction alternative, rebates, refunds, or other credits. Program income expended in accordance with the deduction alternative should be reported separately on Line o.

- f. Federal Share of Unliquidated Obligations: Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an expenditure has not yet been recorded. Enter the Federal portion of unliquidated obligations. Those obligations include direct and indirect expenses incurred, but not yet paid or charged to the award, including amounts due to sub-recipients and contractors. On the final report, this line should be zero.

Note: Do not include any amount in Line f that has been reported in Line e.

Note: Do not include any amount in Line f for a future commitment of funds (such as a long-term contract) for which an obligation or expense has not been incurred. If an obligation has been incurred (e.g., contract executed, order placed), it should be included in Line f regardless of the term of the contract.

- g. Total Federal Share: Automatically calculated in PAGE by summing Federal Share of Expenditures (Line e) and Federal Share of Unliquidated Obligations (Line f).
- h. Unobligated Balance of Federal Funds: Automatically calculated in PAGE by subtracting Total Federal Share (Line g) from Total Federal Funds Authorized (Line d).

Recipient Share:

Note: DOE does not require cost sharing as precondition of awarding SEP Recovery Act funds. However, if SEP prime recipients elected to provide voluntary cost sharing, they are required to provide that cost sharing as part of the terms of the grant agreement and report the expenditure of cost sharing in the Recipient Share of Expenditures (Line j) field noted below. The total required recipient share is identified in Block 12, "Total Amount: Cost Share," of the assistance agreement with DOE. If an SEP prime recipient believes that cost sharing was included in its assistance agreement in error, the recipient should contact their contract specialist for resolution. A majority of SEP prime recipients are not required to provide cost sharing for their Recovery Act grant (i.e., Block 12 of the assistance agreement reads "Cost Share: \$0.00") and will not report any information under the Recipient Share section of the SF-425.

- i. **Total Recipient Share Required:** The amount of cost share is identified in Block 12, "Total Amounts: Cost Share," of the assistance agreement and should be reflected in the "Cumulative" field. If the value in the "Cumulative" field is different from that amount in Block 12 of the assistance agreement, the recipient should enter the difference into the "This Period" field in order to make the "Cumulative" field reflect Block 12. This amount should not include cost sharing and match amounts in excess of the amount required by the Federal agency (for example, cost overruns for which the recipient incurs additional expenses and, therefore, contributes a greater level of cost). For the purposes of SEP reporting, any cost sharing or match amounts in excess of the amount required are classified as "leveraged funds" and should be considered when reporting percentage of leveraged funds in the Performance Report.

Note: Leveraged Funds are defined in Definitions section of this guidance.

- j. **Recipient Share of Expenditures:** Enter the recipient share of outlays including payments to sub-recipients and contractors. This amount may include the value of allowable third-party, in-kind contributions and recipient share of program income used to finance the non-Federal share of the project or program.

Note: On the final report, this line should be equal to or greater than the amount of Line i. Any amount reported in excess of that required in Line i meets the definition of "leveraged funds" and should be considered when reporting percentage of leveraged funds in the Performance Report.

- k. **Remaining Recipient Share to be Provided:** Automatically calculated in PAGE by subtracting Recipient Share of Expenditures (Line j) from Total Recipient Share Required (Line i).

Program Income:

1. **Total Federal Program Income Earned:** Enter the amount of Federal program income earned. Do not report any program income here that is allocated as part of the recipient's cost sharing amount included in Line j.

Note: Program Income is defined in Definitions section of this guidance.

- m. **Program Income Expended in Accordance With the Deduction Alternative:** This field should generally not be used by SEP recipients. Any program income earned by SEP recipients should be expended in accordance with the addition alternative and put towards the completion of eligible activities.
- n. **Program Income Expended in Accordance With the Addition Alternative:** Enter the amount of program income that was added to funds committed to the total project costs and expended to further eligible project or program activities.
- o. **Unexpended Program Income:** Automatically calculated in PAGE by subtracting either Program Income Expended in Accordance With the Deduction Alternative (Line m) or Program Income Expended in Accordance With the Addition Alternative (Line n) from Total Federal Program Income Earned (Line l).

Indirect expenses:

Not included unless indirect costs have been approved by DOE and included in the grant award Budget Information, SF-424A form.

1b. Performance Report

The Performance Report (i.e., the Progress Report noted in the recipient's Federal Assistance Reporting Checklist) requires the following information to be reported at the level of the market title on a quarterly basis. This report is accessed through the "Quarterly Performance Reporting" link in PAGE.

Market Title Status

This section is required to help DOE understand the progress made on each market title by providing general information about the status of the market title. Required items include:

1. Status: Indication, quarterly, of whether the market title is active or complete; and
2. % of Work Complete: The recipient's determination of how complete the market title is relative to the amount of work required to meet grant deadlines.

Market Title Milestones

Market title milestones are optional but highly encouraged to offer more detailed insights into the progress made on a specific market title. A milestone should include a detailed description of a project and include specific steps in the market title progress. Examples of milestones in a building retrofit project are "RFP advertised," "contractor selected," equipment purchased," "equipment installed and verified," "invoice received for equipment purchase," "substantial completion verified," or "final payment draw down."

Financial Metrics

In addition to the information reported on the SF-425, DOE requires the reporting of outlays (i.e., funds expended), obligations (i.e., commitment of funds incurred), and percentage of leveraged funds.

1. **Outlays:** Reported quarterly at the level of the market title (i.e., those outlays occurring during the quarter by market title).

Note: Where a prime recipient implementing a "Loans and Grants" activity has sub-granted funds to another entity for the issuance of loans, the value of loans issued in any reporting quarter is to be reported as outlays for that quarter. Refer to SEP Program Notice series 10-008 for further clarification.

2. **Obligations:** Reported at the market title level by period of performance (i.e., those obligations incurred during the quarter) on a quarterly basis. In order to ensure the Performance Report provides an accurate reflection of cumulative obligations, all recipients were required to report on obligations cumulative thru December 31, 2009 in the Q1 quarterly report due April 30, 2010. This metric should have reflected the sum of all obligations of SEP funds incurred in support of the relevant activity through December 31, 2009, regardless of whether or not those obligations were subsequently liquidated. If this metric (Obligations cumulative through 12/31) was either not reported or reported incorrectly, recipients should work with their Project Officer to amend the Q1 2010 report.

Note: Only Recovery Act grants require obligations to be reported.

3. **Percentage of Leveraged Funds:** Reported at the market title level only in the same quarter that the recipient reports the market title as "Completed." This metric is to be expressed as a percentage:

$$\text{Percentage of Leveraged Funds (\%)} = \frac{\text{Leveraged Funds}}{\text{Project Cost}}$$

Process Metrics

Process metrics are individual sets of programmatic outcomes that allow DOE to monitor progress on the scope of work identified and calculate the impacts of projects in each market title. Recipients are required to report process metrics by market title on a quarterly basis. The full list of possible process metrics is listed in Attachment 1.

How to choose process metrics: Recipients are encouraged to choose as many process metrics as necessary to fully describe the scope of a market title. Recipients must choose at least one process metric per market title. In some cases, two or more process metrics may be necessary to fully describe a market title.

Recipients are required to report on a subset of metric areas selected as critical to the SEP program by DOE whenever they are applicable within a market title. This subset is as follows:

- Building Codes and Standards
- Building Retrofits
- Financial Incentives
- Loans and Grants
- Renewable Energy Market Development
- Transportation

Example 1: A market title allocating \$500,000 to a loan program that funds residential home energy retrofits and \$20,000 to educational sessions for potential residential customers requires two metric areas, "Loans and Grants" and "Building Retrofits." To ensure the complete reporting of all programmatic actions, the "Workshops, Training, and Education" metric area is encouraged to be reported as well.

Example 2: A market title funding both municipal building retrofits and installing solar PV systems requires two process metric areas to be reported on quarterly, "Building Retrofits" and "Renewable Energy Market Development". Both process metric areas are required because each programmatic action (retrofitting buildings and installing solar PV systems) fall within metric areas determined to be critical by DOE.

Example 3: A market title funding only the installation of LED traffic signals would only report the "Transportation" process metric area.

Note: The relationship between metric areas and process metrics is outlined in Attachment 1.

What to report: Recipients are required to report on the progress completed in all selected process metrics during the reporting quarter. If no progress was made in any individual quarter, a recipient must enter zero.

Note: Where a prime recipient is implementing a loan activity (e.g., revolving loan fund) classified under the “Loans and Grants” process metric area and has subcontracted with a third-party to administer the loans, one process metric must reflect the number and monetary value of the loans issued by the third-party to the beneficiaries of the loans and not the amount of the subcontract between the prime recipient and the third-party.

For example, a prime recipient has subcontracted with a third-party to administer a \$3M revolving loan fund. The entire revolving loan fund is capitalized in Q2 2010. The third-party issues 20 loans for the amount of \$2M in Q3 2010. The prime recipient should report both the 20 loans issued and the \$2M for the monetary value of the loans as process metrics on the Q3 2010 reporting.

Additionally, certain process metric areas require reporting of process metrics by sector. These sectors include:

- Agricultural
- Commercial
- Industrial
- Institutional (e.g., hospital, educational, correctional)
- Other
- Public
- Residential
- Transportation
- All sectors (Non-financial program reporting only)

For example, if a market title is funding 25 building retrofits at both industrial facilities and municipal buildings, the “Buildings Retrofitted” process metric would need to be included twice, once for the industrial sector retrofits and again for the public sector retrofits. Further, if 10 industrial buildings and 3 municipal buildings are completed in Q3 2010, each sector would be reported independently so that the number (10) and square footage of the industrial sector buildings is distinct from the number (3) and square footage of the public sector buildings.

When to report: To avoid “double counting,” the process metrics associated with any portion of project completion should be reported once for the reporting quarter in which that discrete portion was completed and once only. What constitutes a “discrete portion” of the project is left to the discretion of the recipient, but DOE prefers process metrics resulting from a portion of project completion be reported as soon after completion as possible.

For example, a recipient implementing a market title to retrofit 20 buildings should choose the process metric area "Building Retrofits." If the 20 buildings are completed in sets of five buildings (i.e., "discrete portions") over the course of four quarters, DOE prefers that the recipient report the process metrics (i.e., number and square feet of building retrofitted) associated with the buildings completed in each of the four respective quarterly reports.

Qualitative descriptions

This section includes a set of narrative fields meant to accomplish three tasks:

1. **Infrastructure Investment Rationale:** Identify the market title as infrastructure investment and explain the purpose and rationale behind the selection of this infrastructure project.

Note: There is no standard Federal or DOE definition of infrastructure. Recipients should use their own discretion in determining if an individual market title qualifies as infrastructure investment.

2. **Remarks (Problems, Issues, Variance from Plan):** Provide qualitative information, as described in a grantee's Federal Assistance Reporting Checklist (DOE Form 4600.2), to DOE (particularly Project Officers) on the status of market title implementation. The decision about which of these narrative fields are necessary and with what frequency they need to be filled out is left to the discretion of the Project Officer.

3. **Actions taken to comply with Section 410 of Recovery Act:** Provide qualitative information to DOE on actions taken to comply with Section 410 of the Recovery Act.

Note: This item is only required for Recovery Act grants.

4. **Accomplishments, Publicity, Good News:** Provide information about project successes. This information enables SEP to share the collective impacts and accomplishments of grantee projects, and is critical to SEP's ability to highlight effective and innovative uses of federal funds.
5. **Performance Outcome Data Collected:** Provide information about any additional performance or impact metrics collected to support SEP activities. This information enables SEP to share the collective impacts and accomplishments of grantee projects, and is critical to SEP's ability to highlight effective and innovative uses of federal funds.

1c. Financial Programs Report

Who must report: Financial Programs Reports are only required for prime recipients who continue to use Recovery Act funds, through either self-administered or third-party administered programs, to fund financing programs after the prime recipient's Recovery Act grant closes.

When to report: Recipients must begin reporting Financial Programs Reports in the quarter following either the close of their SEP Recovery Act grant or the fourth quarter of 2012 (i.e., October – December 2012), whichever is later.

What to report: The Financial Programs Report requires the following information to be reported for each financial program on a quarterly basis. This report is accessed through the "Financial Programs Reporting" link in PAGE.

Metrics in the Financial Programs Report require entry for two distinct reporting periods in their initial submission. In PAGE, these are separated into the columns titled "Reported Under ARRA" and "This Period." For the "Reported Under ARRA" metric values, the relevant reporting period is the cumulative total of the grantee's Recovery Act grant through the last day of the grant's end date. For the "This Period" metric values, the relevant reporting period is the cumulative total during the time period between the grantee's Recovery Act grant end date and the end date of the calendar year quarter of the first Financial Programs Report.

Financial Program Summary

- a. **Linked Grant:** Auto-populated by PAGE. Indicates the grantee's active SEP formula grant number.
- b. **Financial Program Title:** Enter the unique program name that identifies each financing program managed by the grantee from the grantee's other financing programs, if existent.
- c. **Description:** Enter the proposed purpose, scope, and additional information about the program's goals and methods.
- d. **Program Administered:** Select either "In-House" or "Third Party", or both, to describe the administrative management relationship between the recipient and the day-to-day management of the program's mechanism(s).
- e. **Initial Program ARRA Funding:** Enter the amount of SEP Recovery Act funds which were allocated to the program as of the close of the recipient's SEP Recovery Act grant. This figure includes Recovery Act funds used to capitalize and administer the program and does not include non-principal program income.
- f. **Financial Program Status:** Select either "Active" or "Completed" to indicate whether the program is currently being managed or is a closed program.

Financial Metrics (Funds)

- a. **Non-Principal Income (Including Interest and Fees):** Enter the amount of non-principal funds paid into the program. This value includes interest, fees,

commissions, and all other sources of income as described in the definition of program income earlier in this guidance. This metric is used to populate the Program Income row in the Financial Metrics Summary table.

- b. Principal Repaid: Enter the amount of principal repaid into the program. This metric is used to populate the Principal Repaid row in the Financial Metrics Summary table.
- c. Inter-Program Transfers: Enter the net amount of fund transfers into and/or out of the program to other recipient managed financing programs. This metric is used to populate the Inter-Program Transfers row in the Financial Metrics Summary table.

Note: The sum of all inter-program transfers reported within all a recipient's financial programs must equal zero. For example, if a grantee transfers \$5,000 out of one financing program, a corresponding positive addition of \$5,000 must appear within the recipient's other financing program(s).

- d. Total Funds: Auto-populated by PAGE. This value represents the net addition or subtraction of funds from the aggregate sum of the above metrics.

Financial Metrics (Outlays)

- a. Administrative Outlays: Enter the amount of funds expended on administrative costs during the reporting period.
- b. Total Revolving Loans Written Off: Auto-populated by PAGE, if applicable, from the Loans Written Off metric below. When the Loans Written Off metric is present in the Financial Metrics (Loans/Loans Supported by LLRs/Grants) table, this metric will appear automatically.
- c. Total Loans Supported by Loan Loss Reserves Written Off: Auto-populated by PAGE, if applicable, from the Loans Supported by Loan Loss Reserves Written Off metric below. When the Loans Supported by Loan Loss Reserves Written Off metric is present in the Financial Metrics (Loans/Loans Supported by LLRs/Grants) table, this metric will appear automatically.
- d. Total Grants Given: Auto-populated by PAGE, if applicable, from the Grants Given metric below. When the Grants Given metric is present in the Financial Metrics (Loans/Loans Supported by LLRs/Grants) table, this metric will appear automatically.
- e. Total Outlays: Auto-populated by PAGE. This value represents the sum of all metrics present within the Financial Metrics (Outlays) table and is used to populate the Outlays row in the Financial Metrics Summary table.

Financial Metrics (Loans/Loans Supported by LLRs/Grants)

Metrics in this table should only be reported if the corresponding financial mechanism is being used within the program to provide financing. For example, a program that only provides loans to public entities would only need to report against the Loans metric area. Similarly, a program that provides both an interest rate buy down and loans will need to report against both the Grants and Loans metric areas.

- a. Loans Given: By sector, enter the number of loans originated and the monetary value of the program's contribution to those loans.
- b. Loans In Default (not yet written off): By sector, enter the number of loans that are currently in default and enter the net outstanding dollar value of the program's contribution to those loans. For example, one loan in default with \$5,000 in unpaid principal on the original \$80,000 loan would report only the \$5,000 in unpaid principal in this field.
- c. Loans Written Off: By sector, enter the number of loans which have been closed due to non-payment and the net outstanding dollar value of the program's contribution to those loans. For example, a written off loan with \$5,000 in unpaid principal of an originally \$80,000 loan would report only the \$5,000 in unpaid principal in this field.
- d. Loans Fully Repaid: By sector, enter the number of loans closed due to full repayment and the total dollar value of the program's contribution to those loans.
- e. Loans Supported By LLRs Given: By sector, enter the number of loans originated that were backed by the loan loss reserve and the total dollar value of those loans.
- f. Loans Supported By LLRs Written Off: By sector, enter the number of loan loss reserve supported loans which have been closed due to non-payment and the amount of loan loss reserve expended to repay the written off loans' lender(s).
- g. Loans Supported By LLRs Fully Repaid: By sector, enter the number of loans closed due to full repayment and the total value of those loans.
- h. Grants Given: By sector, enter the number of grants originated and total dollar value of the program's contribution to those grants.

Financial Metrics (Leveraged Funds)

- a. Value of Private Capital: Enter the amount of funds contributed by non-Federal sources to loans, grants, or project costs.

Process Metrics

Process metrics within the Financial Programs Report are reported (and subject to the same stipulations) as process metrics reported in the Performance Report. Please see the Performance Report's process metric section for guidance.

2. QUARTERLY REPORTING TO OMB VIA FEDERALREPORTING.GOV

The Office of Management and Budget (OMB) requires the quarterly reporting of grant information in accordance with Section 1512 of the Recovery Act as outlined in References 1 and 2. The nominal reporting timeline (in days after the close of the reporting quarter), while always subject to change, is as follows:

- 10th: Prime recipients (and sub-recipients with delegated reporting responsibility) are required to submit their initial reports to FederalReporting.gov
- 11th-21st: Prime recipients can correct significant reporting errors or omissions
- 22nd-29th: Prime recipients are locked out from their reports and can only make corrections if their agency reviewer comments on the report
- 33rd-75th: Prime recipients can correct submitted reports during the continuous quality assurance (QA) period.

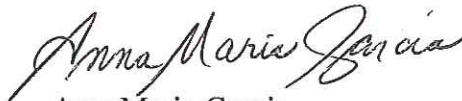
The DOE Recovery Act clearinghouse coordinates Section 1512 reporting for all DOE Recovery Act projects. Further information on the content and process of Section 1512 reporting is available here:

http://www.energy.gov/recovery/ARRA_Reporting_Requirements.htm

Note: Submitting information to DOE does NOT fulfill the OMB Section 1512 reporting requirement. DOE cannot forward the information to OMB for SEP recipients.

CONCLUSION

State Energy Program funding supports State Energy Office initiatives to deploy energy efficiency and renewable energy projects across the country. On a quarterly basis, it is required that SEP recipients report financial information and process metrics through PAGE and or FederalReporting.gov. Additional reporting requirements are outlined in the Special Terms and Conditions and Federal Assistance Reporting Checklist issues with each SEP award. Reporting is an important component to demonstrating the impact and success of the SEP program.



AnnaMaria Garcia
Program Manager
Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy

Attachment 1: EECBG & SEP – Process Metrics List

THE JOURNAL OF THE ROYAL SOCIETY OF MEDICINE

The Journal of the Royal Society of Medicine is a peer-reviewed medical journal. It is published by the Royal Society of Medicine, which is a learned society for medical professionals in the United Kingdom. The journal covers a wide range of medical topics, including clinical medicine, public health, and medical law. It is one of the leading medical journals in the world.

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Metric Area	Metric	Metric Item(s) to Report On
1. Building Codes and Standards	1a. Building Code Adoption	Name of new code adopted
		Name of old code replaced
		Number of new and existing buildings covered by new code
2. Building Energy Audits	2a. Building energy audits, by sector	Number of audits performed
		Floor space audited
		Auditor's projection of energy savings (kWh)
3. Building Retrofits	3a. Building roofs retrofitted, by sector	Number of building roofs retrofitted
		Square footage of building roofs retrofitted
	3b. Buildings retrofitted, by sector	Number of buildings retrofitted
		Square footage of buildings retrofitted
	3c. Energy management systems installed, by sector	Number of energy management systems installed
		Square footage of buildings under management
	3d. Water conservation retrofits, by sector	Number of water conservation retrofits completed
4. Clean Energy Policy	3e. Water management systems installed, by sector	Number of water management systems installed
	4a. Alternative energy plans developed or improved	Number of alternative energy plans developed or improved
	4b. Climate Action Plans developed or improved	Number of Climate Action Plans developed or improved
	4c. Energy Efficiency and Conservation strategies (EECS) completed	Number of Energy Efficiency and Conservation strategies completed
	4d. Energy efficiency standards established or improved	Number of energy efficiency standards established or improved
	4e. GHG inventories completed	Number of GHG inventories completed
	4f. Interconnection standards established or improved	Number of interconnection standards established or improved
5. Energy Efficiency Rating and Labeling	4g. Renewable energy feasibility studies completed	Number of renewable energy feasibility studies completed
	4h. Renewable portfolio standards established or improved	Number of renewable portfolio standards established or improved
	4i. Transportation feasibility studies completed	Number of transportation feasibility studies completed
	4j. Other policies developed or improved	Number of other policies developed or improved
	5a. Energy-consuming devices for which energy-efficiency rating and labeling systems were endorsed by grantee	Types of energy-consuming devices for which energy-efficiency rating and labeling systems were endorsed

Metric Area		Metric	Metric Item(s) to Report On
6. Financial Incentives and Rebates	6a. Financial incentives provided, by incentive type and sector		Monetary value of financial incentives provided
	6b. Total value of investments incentivized, by incentive type and sector		Total value of investments incentivized
7. Government, School, Institutional Procurement	7a. Units purchased, by type		Number of alternative-fuel vehicles purchased
			Number of energy efficient exit signs purchased
			Number of energy efficient HVAC units purchased
			Number of energy efficient IT systems or software packages purchased
			Number of energy efficient outdoor area lights purchased
			Number of energy efficient pieces of office equipment purchased
			Number of energy efficiency refrigerators purchased
			Number of energy tracking software packages purchased
8. Industrial Process Efficiency	8a. Reduction in electricity consumption		Number of energy efficient streetlights purchased
			Number of energy efficient water heating units purchased
			Reduction in electricity consumption (MWh/year)
			Reduction in fuel oil consumption (gallons/year)
9. Loans and Grants	8c. Reduction in natural gas consumption		Reduction in natural gas consumption (MMcf/year)
			Number of grants given
			Total monetary value of grants given
	9a. Grants given		Number of loans given
			Total monetary value of loans given
	9b. Loans given		Number of loans supported by loan loss reserves
			Total monetary value of loans supported by loan loss reserves

Metric Area	Metric	Metric Item(s) to Report On
10. Renewable Energy Market Development	10a. Biofuel systems installed	Number of biofuel systems installed
		Total capacity of biofuel systems installed (gallons/year)
	10b. Biomass (non-transport) system installed	Number of biomass (non-transport) systems installed
		Total capacity of biomass (non-transport) systems installed (kW)
	10c. Ground source geothermal systems installed	Number of ground source geothermal systems installed
		Total capacity of ground source geothermal systems installed (tons)
	10d. Hydropower systems installed	Number of hydropower systems installed
		Total capacity of hydropower systems installed (kW)
	10e. Solar energy systems installed	Number of solar energy systems installed
		Total capacity of solar energy systems installed (kW)
	10f. Solar thermal systems installed	Number of solar thermal systems installed
11. Technical Assistance		Total capacity of solar thermal systems installed (square feet)
	10g. Wind energy systems installed	Number of wind energy systems installed
		Total capacity of wind energy systems installed (kW)
	10h. Other systems installed (BTU/h)	Number of other systems installed
		Total capacity of other systems installed (BTU/h)
	10i. Other systems installed (kW)	Number of other systems installed
		Total capacity of other systems installed (kW)
	11a. Energy management staff hired	Number of sustainability officers or energy managers hired
	11b. Information contacts (e.g., webinars, site visits, media fact sheets) in which energy efficiency or renewable energy measures were recommended, by sector	Number of information contacts (e.g., webinars, site visits, media fact sheets) in which energy efficiency or renewable energy measures were recommended

Metric Area	Metric	Metric Item(s) to Report On
12. Transportation	12a. Alternative fuel vehicles purchased	Number of alternative fuel vehicles purchased
	12b. Bike lanes installed	Length of bike lanes installed (linear feet)
	12c. Conventional vehicles converted to alternative fuel use	Number of conventional vehicles converted to alternative fuel use
	12d. Energy efficient traffic signals installed	Number of energy efficient traffic signals installed
	12e. Energy efficient streetlights installed	Number of energy efficient streetlights installed
	12f. Energy efficient street signs installed	Number of energy efficient street signs installed
	12g. New alternative refueling stations emplaced	Number of new alternative refueling stations emplaced
	12h. New carpools and vanpools formed	Number of new carpools and vanpools formed
	12i. Sidewalks installed	Length of sidewalks installed (linear feet)
	12j. Street lane-miles for which synchronized traffic signals were installed	Number of street lane-miles for which synchronized traffic signals were installed
	12k. Vehicle miles traveled reduced	Number of vehicle miles traveled reduced annually (VMT/year)
13. Workshops, Training, and Education	13a. People contacted	Number of people contacted via webinar, direct mail, or other marketing/outreach efforts
	13b. Workshops, training, and education sessions held, by sector	Number of workshops, training, and education sessions held
	14a. Administrative	Number of people attending workshops, training, and education sessions
14. Other	14a. Administrative	Administrative (no associated metric)
	14b. Manufacturing Re-Tooling	Number of facilities with manufacturing space repurposed for clean energy products
	14c. Trees planted	Square footage of manufacturing space repurposed for clean energy products
	14d. Waste diverted	Number of trees planted
	14e. Other	Amount of waste diverted annually (tons/year)
		Pertinent metric information for any activity not defined above should be captured and included as needed