

U.S. DEPARTMENT OF
ENERGY

Office of
**ENERGY EFFICIENCY &
RENEWABLE ENERGY**

The SEP Operations Manual

The State's "First Resource"

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State Energy Program

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SEP Operations Manual Overview

Objective

- Introduce the SEP Operations Manual, the first resource for States and DOE program officials.

Value of the Manual

- ✓ Current/relevant information to administer your SEP grant
- ✓ First update since 2003!
- ✓ Updated Annually
- ✓ Available on the SEP website



State Energy Program

Home » State Energy Program

The U.S. Department of Energy's State Energy Program (SEP) provides funding and technical assistance to states, territories, and the District of Columbia to enhance energy security, advance state-led energy initiatives, and maximize the benefits of decreasing energy waste. SEP emphasizes the state's role as the decision maker and administrator for program activities within the state that are tailored to their unique resources, delivery capacity, and energy goals. Read SEP [success stories](#) from across the United States, access additional information on SEP's [guidance](#) and [impacts](#), and find a contact for your state's energy office.

[Learn more about SEP.](#)

Quick Links

- [Register for the 2017 SEP National Training Forum for State Energy Managers](#)
- [Program Impacts](#)
- [State Energy Program Guidance](#)
- [State Energy Program National Evaluation](#)
- [Competitive Financial Assistance](#)
- [Operations Manual](#)



[Link
https://energygov/eere/wipo/downloads/state-energy-program-operations-manual](https://energygov/eere/wipo/downloads/state-energy-program-operations-manual)



SEP Manual - Table of Contents

Introduction: Using the Manual, Terms, Acronyms

Chapter 1: State Energy Program Review

Describes the types of funding vehicles and federal regulations applicable to the program.

Chapter 2: Annual Formula Grants and Formula Grant Application

Provides application rules and procedures for SEP Annual Formula funding.

Chapter 3: Program Administration – Monitoring and Reporting

Describes methodology for administering and monitoring SEP, including important guidance from DOE.

Chapter 4: Learn more about DOE’s Technical Assistance Resources

Provides information on how state personnel can learn more about Energy Efficiency and Renewable Energy technologies and technical assistance resources.

Appendices

SEP Fact Sheet, PVE Funding Overview, SEP Success Story Template, SEP Annual Summary Template, SEP Calendar At-A-Glance, DOE Contacts List, and the Monitoring Instrument.

Terms

Annual Formula Grant Application:

Component of the State Plan that is filed annually and lays out the state's scope of work and budget for the program year.

Federal Fiscal Year (FY):

The federal fiscal year begins October 1 and ends September 30.

Master File:

The Master File defines the state's overall energy efficiency and renewable energy goals and the activities undertaken to achieve those goals.

Program Year (PY):

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.

State Energy Office:

The state office designated by the Governor to receive SEP grant funds.

State Plan:

All components of a state's DOE State Energy Program, including the states' Formula Grant Application, budget information, and its Master and Annual Files.

Sub-recipients:

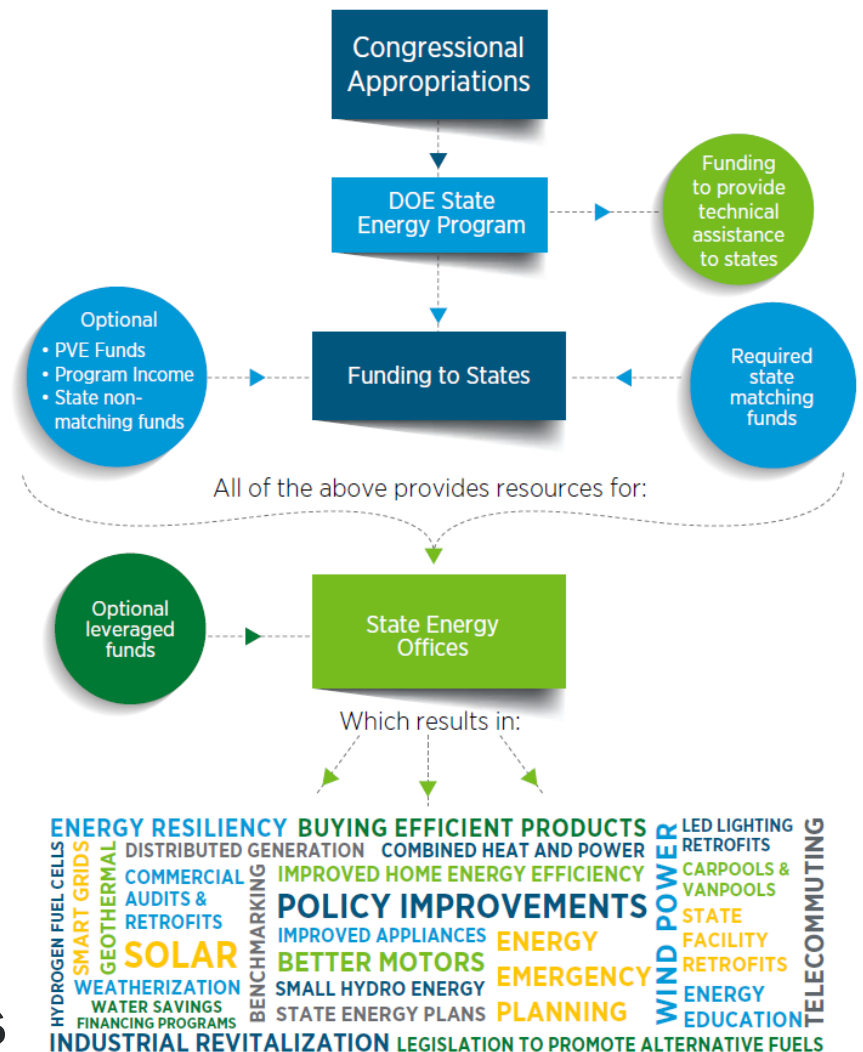
Entities that receive SEP funds from a state (i.e. contractors, vendors).

Acronyms

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

Chapter 1 – State Energy Program Review

- Program Description
- Program Origins and History
- Funding History
- Funding Formula
- State Match
- Petroleum Violation Escrow (PVE) Funds
- Grant Extension Policy
- Leveraged Funds
- Competitive Awards
- Prohibited Uses of SEP funds



Chapter 2 - Annual Formula Grant Application

- **Application Process**
- **Annual File**
- **Master File**
- **Market Titles**
- **Annual Summary**
- **Final Reports and Close-out**

Chapter 2 – Annual Formula Grant Application

Award Periods

- **Budget Period** – The budget period is a specific interval of time for which SEP funds are provided from a fiscal year to fund a recipient’s approved activities.
- **Performance Period** – The performance period is the complete length of time the recipient is proposed to be funded to complete approved activities.

For example, the budget and performance periods for the DOE’s SEP Grants as awarded to the State are as follows:

Budget Periods	Dates
1	07/01/2015 – 06/30/2016
2	07/01/2016 – 06/30/2017
3	07/01/2017 – 06/30/2018
Performance Period	07/01/2015 – 06/30/2018

Chapter 3 – Monitoring and Reporting

- **Program Monitoring and Reporting**
- **Reporting in the PAGE System**
 - QPR, FFR, FPR
 - Davis Bacon
 - Historic Preservation
- **Establishing a PAGE Account**
- **DOE Monitoring of the States**
 - Desk Monitoring
 - On-Site Monitoring
 - Financial Monitoring
- **Sharing State Accomplishments and Success Stories**

Chapter 3 – Monitoring and Reporting (cont.)

Program Accomplishments – Sharing Success



Chapter 4 – DOE’s Technical Assistance

DOE’s Technical Assistance Resources

- [State and Local Solution Center](#)
 - Better Buildings Initiative
 - Better Communities Alliance
 - Accelerators
 - Energy Savings Performance Contracting (ESPC)
 - Clean Energy for Low Income Communities (CELICA)
 - Sustainable Wastewater Infrastructure of the Future (SWIFT)
 - Combined Heat and Power
 - Outdoor Lighting
 - Data Centers
 - Industrial Superior Energy Performance



Chapter 4 – Technical Assistance (cont.)

DOE's Stakeholder Organizations and Technical Assistance

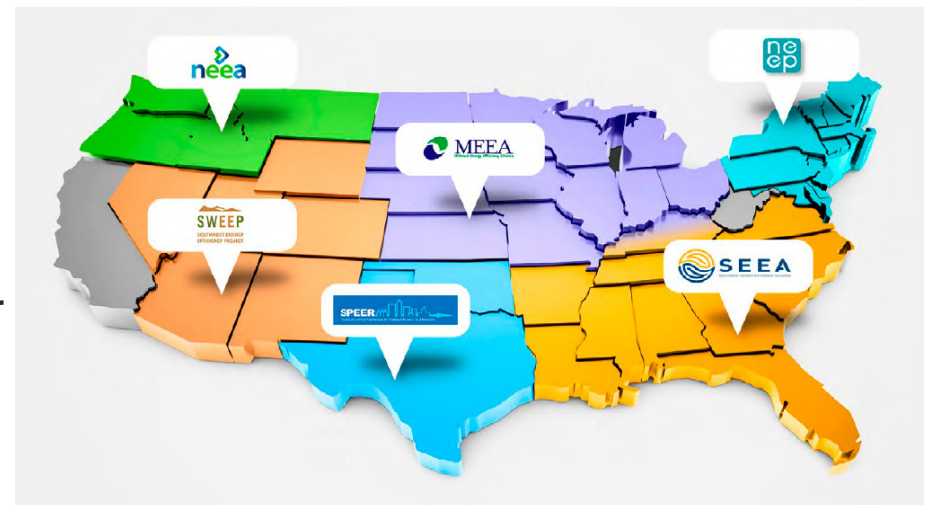
- **American Council for an Energy Efficient Economy (ACEEE)**
- **National Association of State Energy Officials (NASEO)**
- **National Conference of State Legislatures (NCSL)**
- **National Governor's Association (NGA) Center for Best Practices**

Chapter 4 Highlights (cont.)

DOE's Stakeholder Organizations and Technical Assistance (cont.)

- **Regional Energy Efficiency Organizations (REEOs)**
 - Northeast Energy Efficiency Partnership (NEEP)
 - Midwest Energy Efficiency Alliance (MEEA)
 - Northwest Energy Efficiency Alliance (NEEA)
 - Southeast Energy Efficiency Alliance (SEEA)
 - Southwest Energy Efficiency Project (SWEET)
 - South Central Partnership for Energy Efficiency as a Resource (SPEER)

Figure 4-1. REEOs Map

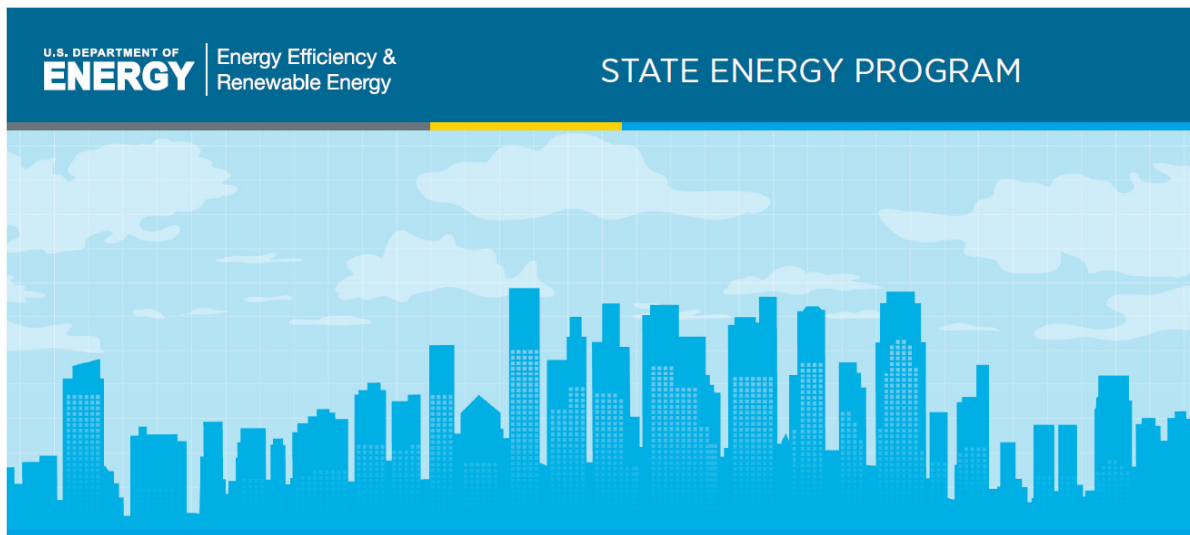


Appendices

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	SEP Grant Monitoring Instrument

Appendix A: State Energy Program Fact Sheet

- Program Outcomes and Benefits
- Funding and History
- Examples of SEP-Funded state-led work
- ARRA Accomplishments
- List of Recent Competitive Awards



Overview

The U.S. Department of Energy's State Energy Program (SEP) provides funding and technical assistance to states, territories, and the District of Columbia to enhance energy security, advance state-led energy initiatives, and maximize the benefits of decreasing energy waste. SEP emphasizes the state's role as the decision maker and administrator for program activities within the state that are tailored to their unique resources, delivery capacity, and energy goals.

Appendix B: PVE Funding Overview

- History At-A-Glance
- PVE Overview
- Chevron Settlement
- Warner Amendment
- Exxon Case
- Stripper Well Agreement
- Diamond Shamrock

Table 1. PVE Funding History At-A-Glance

Funding Distribution	Chevron	Warner Amendment	Exxon	Stripper Well	Diamond Shamrock
	\$25 million, 1981	\$200 million, 1983	\$2.1 billion, 1986	\$1.5 billion, 1986	\$48.6 million, 1986
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.

Appendix C: SEP Success Story Template

- **SEP Funding Mechanism:** (e.g. formula, competitive)
- **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**
- **Quotes, Photos**
- **Success Story Alternative**
 - brief summary
 - 4-6 sentences



Appendix D: SEP Program Annual Summary

- Annual Summaries are due within 90 days of the end of the budget period
 - September 30 for July 1 states
 - December 30 for October 1 states
- **Section 1:** State, State Entity, Grant Number
- **Section 2:** TOTAL GRANT AMOUNT FOR PY17:
- **Section 3:** Activities with High-impact Or Exceptionally Innovative Accomplishment
- **Section 4:** Legislative Action/Policies attributable to SEP Formula funds
- **Section 5:** Recommendations for Grant Process
- **Sample:** Filled out Sample

Appendix E: SEP Calendar At-A-Glance

(See Reports List Below)		SEP Calendar At-A-Glance		(* Timing Subject To Change)
January	Quarterly Reports Due 1/30 QPR, FFR, FPR (if applicable)	SEP Competitive Funding Opportunity Announcement (FOA) Released *		
February		NASEO Winter Meeting		
March	Final Report / Close-Out Info **	Formula Grant Guidance and ALRD Released *		
April	Quarterly Reports Due 4/30 QPR, FFR, FPR (if applicable)	SEP Competitive FOA Proposals Due *	Annual Indirect Cost Proposal Due 3/31 for 10/1 States (if DOE is Cognizant)	
May		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)
June	Final Report / Close-Out Info **		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
July	Quarterly Reports Due 7/30 QPR, FFR, FPR (if applicable)	Annual PVE Report Due 7/30 for 7/1 States	Formula Grant Proposals Negotiated and Awarded for TX and States with Oct 1 - Sept 30 Fiscal Years	
August		SEP Competitive FOA Awards Announced *		
September	Annual Historic Preservation (NHPA) Reports Due 9/15	Final Report / Close-Out Info **	NASEO Annual Conference	
October	Quarterly Reports Due 10/30 QPR, FFR, FPR (if applicable)	Annual Summary Report Due 9/30 for the 7/1 States		Davis Bacon Reports Due 9/25 (SEP ARRA funds only)
November		Annual PVE Report Due 10/30 for 10/1 States		
December	Final Report / Close-Out Info **	Notice of Intent Published for next SEP Competitive FOA *		
	Annual Summary Report Due 12/30 for 10/1 States	Annual Indirect Cost Due for 7/1 States (if DOE Cognizant)		

Appendix F: SEP Contacts List - Formula

State Energy Program Formula Grant Contact List			
Annual Formula State Grants	Team Member	E-Mail	Telephone
Wyoming	Pete Davis , Supervisory Energy Technology Project Specialist, Project Officer	pete.davis@ee.doe.gov	720-356-1606
Alaska, Guam, Hawaii, Commonwealth of the Northern Mariana Islands, Idaho, Washington	Kelsie Bell , Project Officer	kelsie.bell@ee.doe.gov	720-356-1643
Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont	Henry Fowler , Project Officer	henry.fowler@ee.doe.gov	720-356-1595
Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Wisconsin	Sharon Gill , Project Officer	sharon.gill@ee.doe.gov	720-356-1593
Kentucky, North Carolina, Ohio, South Carolina, Tennessee	Pete Gingrass , Project Officer	pete.gingrass@ee.doe.gov	720-356-1314
Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, Virginia, West Virginia	Gordon Gore , Project Officer	gordon.gore@ee.doe.gov	720-356-1592
American Samoa, Arizona, California, Colorado, Nevada, New Mexico, Utah	Julie Howe , Project Officer	julie.howe@ee.doe.gov	720-356-1628
Kansas, Louisiana, Montana, Nebraska, North Dakota, Oklahoma, Oregon, South Dakota, Texas	Randall Lamp , Project Officer	randall.lamp@ee.doe.gov	720-356-1631
Alabama, Arkansas, Florida, Georgia, Mississippi, Puerto Rico, Virgin Islands	John Merenda , Project Officer	john.merenda@ee.doe.gov	720-356-1620

Appendix F: SEP Contacts List - Competitive

State Energy Program Competitive Grant Contact List			
Competitive Awards	Team Member	E-Mail	Telephone
Tennessee (2015; AOI 1) Kentucky (2012; AOI 3)	Amy Kidd , Supervisory Energy Technology Project Specialist, Project Officer	amy.kidd@ee.doe.gov	202-287-1306
Montana, West Virginia (2016; AOI 3)	Kelsie Bell , Project Officer	kelsie.bell@ee.doe.gov	720-356-1643
Connecticut, Nebraska (2016; AOI 2); Missouri, Vermont DG (2015; AOI 2), Washington (2014; AOI 2)	Virginia Castro , Project Officer	virginia.castro@ee.doe.gov	202-287-1543
, Hawaii, Minnesota, New Mexico (2016; AOI 1) Colorado (2016; AOI 2) Maine, New York, Virginia (2015; AOI 1) Alaska, Minnesota (2015; AOI 2)	Greg Dierkers , Project Officer	gregory.dierkers@ee.doe.gov	202-287-1921
Mississippi, Texas, Alabama (2013; AOI 1)	Henry Fowler , Project Officer	henry.fowler@ee.doe.gov	720-356-1595
Alabama, New York (2016; AOI 2)	Pete Gingrass , Project Officer	pete.gingrass@ee.doe.gov	720-356-1314
Idaho (2014; AOI 1) Arkansas, Mississippi (2013; AOI 2)	Lauren Hall , Project Officer	lauren.hall@ee.doe.gov	202-287-1870
Arkansas, Colorado, Illinois, Maine, Virginia (2016; AOI 2), New Mexico (2014; AOI 2), Wisconsin (2013; AOI 3), Michigan and Illinois (2014; AO1)	Brandi Martin , Project Officer	brandi.martin@ee.doe.gov	202-586-7983
Florida (2016; AOI3), Nebraska, New Hampshire, New Mexico, Tennessee (2015; AOI 2) Minnesota (2014; AOI 2)	Charles Satterfield , Project Officer	charles.satterfield@ee.doe.gov	720-356-1592
Rhode Island (2016; AOI 2); Vermont (2015; AOI 2) Vermont (2014; AOI 2); Alabama, Arkansas (2014; AOI 2); Hawaii, New York (2012; AOI 1)	David St. Jean , Project Officer	david.st.jean@ee.doe.gov	202-287-1620

Appendix G: SEP Onsite Monitoring Instrument

SITE VISIT SUMMARY

I. REPORTING OVERVIEW

II. PROGRAMMATIC AND ADMINISTRATIVE MONITORING

1. Organization
2. General Administrative and Program Management
3. Petroleum Violation Escrow
4. Emergency Planning
5. Monitoring/Evaluation

III. FINANCING PROGRAMS

1. Overview
2. Reporting
3. Loan Defaults and Loans Write-offs

SEP Operations Manual Overview

Questions and Discussion