

EXAMPLE

DOE F 540.1#
(03/09)

U.S. Department of Energy State Energy Program (SEP) Narrative Information Worksheet

OMB Control No.: 1910-5126
Expires: TBD

(Grant Number: _____)

State Title: **Energy Retrofit Program for Schools**

1. Market (choose one):

<input type="checkbox"/> Buildings	<input type="checkbox"/> Industry
<input type="checkbox"/> Electric Power and Renewable Energy	<input type="checkbox"/> Policy, Planning, and Energy Security
<input type="checkbox"/> Energy Education	<input type="checkbox"/> Transportation

2. State: _____ State _____

3. Program Year: 2009 Date Start: _____ Date End: _____

4. Topics Involved in the Overall Program Market (choose all that apply):

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

5. Estimated Annual Energy Savings: _____ MBtus

6. Description (executive summary of goals and objectives)*

<p>TEMPLATE ACTIVITIES</p> <p>In this space, please provide a brief description of the projects in this market title which fall within one or more of the bounded categories in the optional SEP Template. The project narrative language should be consistent with the limitations prescribed within the template.</p> <p>NON-TEMPLATE ACTIVITIES</p> <p>In this space, please provide a list of projects that the state would like to pursue but are not within the bounded categories. Provide sufficient detail for projects that the state believes could receive a CX determination as part of this market title approval. If projects are more complex, these projects will likely be conditioned and will require an individual NEPA determination. All projects in the non-template category requiring a later individual NEPA determination will need an environmental questionnaire completed and provided to DOE at that time.</p> <p>INSTRUCTIONS REGARDING THE TEMPLATE</p> <p>Please include the signed template below within the space provided for the project description. Also, only include those categories applicable to the projects listed above in the template activities section. For example, as this is a retrofit project, only category 1 should be included in the bounded categories section. Delete all other categories from part 1 of the template. Please see example template below.</p>
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TEMPLATE

[State] is revising Narrative Worksheet [PROVIDE IDENTIFIER] and the Environmental Questionnaire for Market Title [NAME] with respect to the following Projects [LIST PROJECTS HERE]. By signing below, [State] provides assurance that all of the listed Projects fall within the bounded categories in Part I below and, moreover, are consistent with the limitations prescribed therein. To assist DOE in satisfying its NEPA obligations, [State] provides, as an attachment to this revised Narrative Worksheet, a completed Environmental Questionnaire.

Part I – Bounded Categories

1. Funding energy efficiency retrofits, provided that:
 - Projects Are Limited To: installation of insulation; installation of energy efficient lighting; HVAC upgrades; weather sealing; purchase and installation of ENERGY STAR appliances; replacement of windows and doors; high efficiency shower/faucet upgrades; and installation of solar powered appliances with improved efficiency.

Part II - Integral Element Requirements and Other Conditions

[State] shall fund only Projects that would not:

- (1) Threaten a violation of applicable statutory, regulatory, or permit requirements for environment, safety, and health, including requirements of DOE and/or Executive Orders;
- (2) Require siting and construction or major expansion of waste storage, disposal, recovery, or treatment facilities (including incinerators);
- (3) Disturb hazardous substances, pollutants, contaminants, or CERCLA-excluded petroleum and natural gas products that preexist in the environment such that there would be uncontrolled or unpermitted releases; or
- (4) Adversely affect environmentally sensitive resources. Environmentally sensitive resources include, but are not limited to:
 - (i) Property (e.g., sites, buildings, structures, objects) of historic, archeological, or architectural significance designated by Federal, state, or local governments or property eligible for listing on the National Register of Historic Places;
 - (ii) Federally-listed threatened or endangered species or their habitat (including critical habitat), Federally- proposed or candidate species or their habitat, or state-listed endangered or threatened species or their habitat;
 - (iii) Wetlands regulated under the Clean Water Act (33 U.S.C. § 1344) and floodplains;
 - (iv) Areas having a special designation such as Federally- and state-designated wilderness areas, national parks, national natural landmarks, wild and scenic rivers, state and Federal wildlife refuges, and marine sanctuaries;
 - (v) Prime agricultural lands;
 - (vi) Special sources of water (such as sole-source aquifers, wellhead protection areas, and other water sources that are vital in a region); and
 - (vii) Tundra, coral reefs, or rain forests.

Waste Stream Conditions

[State] shall obtain a waste management plan addressing waste generated by each proposed Project prior to funding the Project. This waste management plan will describe the plan to dispose of any sanitary or hazardous waste (e.g., construction and demolition debris, old light bulbs, lead ballasts, lead paint, piping, roofing material, discarded equipment, debris, and asbestos) generated as a result of the proposed Project. [State] shall make the waste management plan and related documentation available to DOE on DOE's request (for example, during a post-award audit). [State] shall ensure that the Project complies with all Federal, state and local regulations for waste disposal.

NHPA Conditions

[State] and/or other Project proponent shall comply with Section 106 of the National Historic Preservation Act (NHPA). If applicable, the [State] or Project proponent shall contact the State Historic Preservation Officer (SHPO) and the Tribal Historic Preservation Officer (THPO). [State] shall retain sufficient documentation, from the Project proponent or other sources, to demonstrate that the State and/or Project proponent have received required approval(s) from the SHPO or THPO. The State shall deem compliance with Section 106 of the NHPA complete only after it has this documentation. [State] shall make this documentation available to DOE on DOE's request (for example, during a post-award audit).

Cumulative Impacts, Connected Actions and Extraordinary Circumstances

DOE's CXs are not absolute. CXs do not apply to Projects that involve "extraordinary circumstances," connected actions, or cumulative impacts that may have significant environmental impacts. *See* 10 C.F.R. § 1021.410(b). If DOE grants a CX based on descriptions in the Narrative Worksheet and Environmental Questionnaire and the State's assurances, DOE will base its decision on the lack of such "extraordinary circumstances" and significant impacts. [State] shall review section 1021.410 and shall immediately contact DOE if, at any time, it determines that a Project may involve "extraordinary circumstances," cumulative impacts, or connected actions that could have significant environmental impacts. In these instances, the State will withhold funding for the Project until DOE completes NEPA review for the Project.

Part III

On the basis of [State's] assurances in this Narrative Worksheet and Environmental Questionnaire, DOE intends to apply one or more CXs to [State's] funding for the Projects listed above. However, because DOE has only recently started employing this approach, there may be unforeseen circumstances that make it inappropriate to apply a CX to funding for a Project that otherwise meets all the Part I and Part II requirements. DOE does not waive its discretion to decline to apply a CX for Projects under these circumstances.

By signing below, [State] acknowledges the preceding paragraph, agrees to all conditions in Parts I, II and III, and provides its assurance that all statements in the Narrative Worksheet, Environmental Questionnaire, and supporting information are accurate to the best of its knowledge.

Authorized Signatory

7. Program Year Milestones*

Milestone		Planned (Number)
1		
2		
3		
4		

**Please use additional pages if more space is needed.*

****Mandatory requirement**

8. Standard Metrics (required):**

JOB METRICS	Planned
Jobs Created	
Jobs Retained	
TOTAL JOBS	

9. Specific Metric Activity (required):**

Metric Activity: _____

SPECIFIC METRICS	Planned

10. User Specified Metrics (optional): *

METRICS	Planned

11. Program Year Funds by Source *

a. SEP grant (all funds in the approved budget)	Planned
	\$
	\$
Market Budget Total	\$
b. Leveraged funds anticipated (outside approved budget)	
	\$
	\$

**Please use additional pages if more space is needed.*

****Mandatory requirement**

OMB Burden Disclosure Statement

Public reporting burden for this collection of information is estimated to average 3 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

The SEP Narrative consists of information on each SEP market, mandatory or optional, planned for the program year (PY), submitted on the SEP Narrative Information Worksheet included in the Forms section (or facsimile). If there is no change in the purpose and description of a continuing market, only the milestones and PY budget need be submitted in subsequent years. A state plan can have more than one Market/SEP Narrative Information Worksheet.

The Market Information Worksheet requests the following information.

Item	Explanation
State Title	The states name for the market area activity.
1 Market	Select from the list of valid SEP market areas.
2 State	Self-explanatory.
3 Program Year/Date Start/Date End	Federal fiscal year of allocation/obligation. Start and end dates for the state's program year.
4 Topic	Select the list of valid SEP topics that pertain to this SEP market area.
5 Estimated Annual Energy Savings	An estimate of the energy to be saved annually, direct and indirect, by implementing this market wherever practicable. States are encouraged to provide meaningful data and realistic estimated numbers for energy saved to assist DOE in developing national budget justifications.
6 Description (executive summary of goals and objectives)	A concise description of the market, including goals and objectives, with enough specificity to allow DOE to determine that it meets program intent and includes no prohibited measures [10 CFR 420.18]. If the state has this information on a website, that would be an optimal source for this information. (Any description submitted would be published on the DOE SEP Internet website.)
7 Program Year Milestones	Countable products, services, measures with planned total for each. Milestones should correlate to topics.
8 Standard Metrics	Standard metrics from grant guidance that apply to all activities, with planned numbers/amounts for each. See grant guidance for details.
9 Metric Area Specific Metrics	The primary metric area related to this activity, with the specific metrics that apply and planned numbers/amounts for each. See grant guidance for details.
10 User Specified Metrics (optional)	Optionally, identify any additional metrics that apply to this activity, with the planned numbers/amounts for each. See grant guidance for details.
11 Program Year Funds by Source	
a) SEP grant (all funds in the approved budget)	Total grant funds – DOE, state match, PVE etc. -- budgeted for this market this program year (PY).
b) Leveraged funds anticipated (outside approved budget)	Leveraged funds anticipated this PY, by source, for this market. This information is not required, however it helps DOE justify the SEP budget.