



**Department of Energy**  
Washington, DC 20585

**SEP PROGRAM NOTICE 10-006E**  
**EFFECTIVE DATE: March 31, 2019**

**SUBJECT: DOE REPORTING REQUIREMENTS FOR THE STATE ENERGY PROGRAM**

**PURPOSE**

To provide guidance to State Energy Program (SEP) recipients on the requirements of reporting for SEP formula and competitive awards under the Energy Policy and Conservation Act, as amended (42 U.S.C. §6321 et seq.). This guidance supersedes **SEP Program Notice 10-006D** and includes the reporting requirements for Recovery Act-funded financial programs that continue to operate. Please refer to the SEP Operations Manual for further information and background on the SEP Program, including definitions of terms and acronyms.

<https://www.energy.gov/eere/wipo/downloads/state-energy-program-operations-manual>

**SCOPE**

The provisions of this guidance apply to entities (i.e., States, Territories, and the District of Columbia) named in an Assistance Agreement as the recipients of financial assistance under SEP annual formula grant or competitive awards. Reporting requirements for States with remaining Recovery Act funds are detailed in the terms and conditions of the recipient's current formula grant award.

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

**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 and regulations including, but not limited to, the SEP statutory authority (42 U.S.C. §6321 et seq.), the Recovery Act (Pub. L. No. 111-5), 10 CFR Part 420, and 2 CFR Part 200 as amended by 2 CFR Part 910.

## **DEFINITIONS**

**Contractor** is an entity providing goods and services for the prime recipient's own use and creates a procurement relationship between the prime recipient and the contractor.

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

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

**Cost matching** refers to the value of State or third party cash or in-kind contributions. As defined in 2 CFR 200.29, cost matching means the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute).

**Leveraged funds** are any third-party cash or in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal Government, **but they do not include required cost match. Note that cost match and leveraged funds are not the same and are reported separately.**

Leveraged funds are estimated in the budget, and should be:

1. Demonstrably applied to the SEP project;
2. Additional to the Federal SEP funds and required State match funds (i.e., they would not have been applied to the project in the absence of SEP funds); and,
3. Reported only when the project to which they were applied has been completed.

**Obligations** mean orders placed for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the prime recipient during the same or a future period. The most recent SEP Program Notice 10-008 details when funds used for financing programs are considered to be obligated.

**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: cash disbursements for direct charges for property and services; the amount of indirect expense charged; the value of third-party in-kind contributions applied; and the amount of cash advance payments and payments made to sub-recipients. For reports prepared on an accrual basis, outlays are the sum of: cash disbursements for direct charges for property and services; the amount of indirect expense incurred; the value of third-party in-kind contributions applied; and the net increase (or decrease) in the amounts owed by the prime recipient for goods and other property received, for services performed, and for other amounts becoming owed under programs for which no current services or performance are required.

**Program income** means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 2 CFR 200.307 paragraph (f). (See 2 CFR 200.77 Period of performance). 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 Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them (See 2 CFR 200.407 Prior written approval). See also 35 U.S.C. § 200-212 “Disposition of Rights in Educational Awards,” which applies to inventions made under Federal awards.

**Project cost** means total allowable costs incurred under a Federal award and all required cost sharing and voluntary committed cost sharing, including third-party contributions. Other Federal funds (i.e., non SEP) applied to the project should **not** be counted under project cost.

**Prime recipients** include the 50 States, the District of Columbia, and the five U.S. Territories that receive SEP funding as Federal awards in the form of grants or cooperative agreements. Federal agencies are not considered prime or sub-recipients.

**Sub-recipients** are non-Federal entities that are awarded SEP funding through a subaward from the prime recipient to carry out part of the SEP program and creates a Federal assistance relationship between the prime recipient and the subrecipient. The Terms and Conditions of the Federal award are carried forward to the sub-recipient. Federal agencies are not considered prime or sub-recipients.

Characteristics which support the classification of the non-Federal entity as a subrecipient include when the non-Federal entity:

1. Determines who is eligible to receive what Federal assistance;
2. Has its performance measured in relation to whether objectives of a Federal program were met;
3. Has responsibility for programmatic decision making;
4. Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and
5. In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

**Unliquidated obligations** for reports prepared on a cash basis mean the amount of obligations incurred by the prime recipient that have 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.

**BACKGROUND**

The SEP funds provided through annual formula allocations and competitive awards represent a Federal investment in activities that enhance energy security, advance state-led energy initiatives, and maximize the benefits of decreasing energy waste, and that are 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 most reporting requirements for annual formula awards, competitive awards and remaining Recovery Act funds by reporting via the Performance and Accountability for Grants in Energy (PAGE) system. The chart below (Figure 1) indicates which reports are required for each grant type. Please also refer to the Federal Assistance Reporting Checklist (FARC), which includes additional required reports for guidance.

Figure 1. Award Reporting Requirements by Agreement Type

<b>Method</b>	<b>Report</b>	<b>Annual Formula</b> <i>No remaining ARRA-funded programs</i>	<b>Annual Formula</b> <i>with remaining ARRA- funded programs</i>	<b>SEP Competitive</b>	<b>Frequency of Report</b>
PAGE	1a. Federal Financial Report (FFR) (SF-425)	X	X	X	Quarterly
	1b. Quarterly Performance Report (QPR)	X	X	X	Quarterly
	1c. Federal Financial Programs Report (FPR)		X		Quarterly
PAGE	1d. Semi Annual Davis Bacon Report		X		Semi Annual
PAGE	1e. Annual Historic Preservation Report	X	X		Annual
Email	Annual Summary	X	X		Annual

Additional required reports include:

**Special Status Reports:** Required only as needed, see Federal Assistance Reporting Checklist.

**Final Reports and Close-Out Information** (Annual Formula and Competitive): Final Reports and Close-out information are due 90 calendar days after expiration or termination of the award.

Figure 2. Calendar-at-a-Glance that indicates when reports are due.

(See Reports List below) <b>SEP Calendar At-A-Glance</b> (*Timing Subject to Change)	
<b>January</b>	Quarterly Reports Due 1/30 QPR, FFR, FPR (if applicable)
<b>February</b>	
<b>March</b>	Final Report/Close-Out Info Annual Indirect Cost Proposal Due March 30 for 10/1 States (If DOE is Cognizant)
<b>April</b>	Quarterly Reports Due 4/30 QPR, FFR, FPR (if applicable) Davis Bacon Report Due 4/25 (SEP ARRA funds only)
<b>May</b>	
<b>June</b>	Final Report/Close-Out Info
<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>	
<b>September</b>	Annual Historic Preservation (NHPA) Reports Due 9/1 Final Report/Close-Out Info Annual Summary Report Due 9/30 for 7/1 States
<b>October</b>	Quarterly Reports Due 10/30 QPR, FFR, FPR (if applicable) Annual PVE Report Due 10/30 for 10/1 States
<b>November</b>	Davis Bacon Report Due 9/25 (SEP ARRA funds only)
<b>December</b>	Final Report/Close-Out Info Annual Summary Report Due 12/30 for 10/1 States Annual Indirect Cost Proposal Due December 30 for 7/1 States

**Reports Reference**

**Annual Indirect Cost Proposal:** Due within 180 days after close of recipient’s fiscal year. If EERE is cognizant, submit to CostPrice@ee.doe.gov. Otherwise, submit to Cognizant Federal Agency.

**National Historic Preservation Act (NHPA):** Required annually on 9/1 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.

**Final Reports and Close-Out Information (Annual Formula and Competitive):** Final Reports and Close-Out information are due 90 calendar days after expiration or termination of the award.

The following sections detail how SEP recipients will report required data to DOE via PAGE.

**Terms:**

- Quarterly Performance Report. Also referred to as the QPR, Performance Report, or Progress report.
- Federal Financial Report. Also referred to as the FFR or SF-425.
- Financial Programs Report. Also referred to as the FPR. This report only applies to those recipients with ARRA-funded projects.

## **1. QUARTERLY REPORTING TO DOE VIA PAGE**

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### Who is Required to Report

Prime recipients are responsible for accurate and timely reporting, even if no funds were expended or no progress was made during the reporting period.

### Reporting Tool

PAGE ([www.page.energy.gov](http://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. New users should contact the PAGE Helpdesk at [page-hotline@ee.doe.gov](mailto:page-hotline@ee.doe.gov) to obtain access. Training tools to familiarize users with PAGE are readily accessible from within the site, including help screens, FAQs, and a number of training videos.

### Reporting Timeline

All quarterly reports are required to be submitted to DOE via PAGE no later than the 30<sup>th</sup> day of the month following the end of the reporting period. Note that the QPR and FFR are reviewed and compared simultaneously, and neither will be approved until they are both submitted.

### Required Reports

DOE requires the submission of three reports in PAGE from prime recipients who receive SEP grants or cooperative agreements. Other reporting requirements are outlined in the Terms and Conditions of each grant.

- a. Federal Financial Report (SF-425): Submitted quarterly summarizing financial results for each grant and cooperative agreement.
- b. Performance Report: Submitted quarterly summarizing activities and financial results for each grant and cooperative agreement.
- c. Financial Programs Report: Submitted quarterly summarizing financial results and progress in each program funded by Recovery Act funds (including financing programs, grants, etc.) under the authority of the annual formula grant.

### **1a. Federal Financial Report (SF-425)**

The SF-425 reports the aggregate total status of grant financial activity on a quarterly basis. This report is accessed through the “Quarterly Financial Reporting” link in PAGE.

#### **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.
- b. Cash Disbursements: Enter the amount of Federal funds expended (such as cash or checks) during the reporting period. Disbursements are the sum of actual cash payments 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:** Recipients must disburse any cash on hand, funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from ASAP.

Cash Receipts (Line a.) and Cash Disbursements (Line b.) should match in the final financial report.

#### **Federal Expenditures and Unobligated Balance:**

- d. Total Federal Funds Authorized: Automatically determined in PAGE.
- e. Federal Share of Expenditures: Enter the amount of Federal fund outlays.

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: Enter the Federal portion 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. This line should be zero on the final report.

**Note:** Do not include any amount in Federal Share of Unliquidated Obligations (Line f.) that has already been reported in Federal Share of Expenditures (Line e.).

- g. Total Federal Share: Automatically calculated in PAGE.

- h. Unobligated Balance of Federal Funds: Automatically calculated in PAGE.

**Recipient Share:**

- i. Total Recipient Share Required: Automatically calculated in PAGE.

- j. Recipient Share of Expenditures: Enter the recipient share of expenditures (less any rebates, refunds, or other credits) 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.

- k. Remaining Recipient Share to be Provided: Automatically calculated in PAGE.

**Program Income:**

- l. 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 Recipient Share of Expenditures (Line j.).

- 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.



**Indirect expenses:**

Not allowable unless Recipient has a federally approved indirect rate agreement, an indirect cost proposal which has been reviewed by DOE, or other acceptable justification, and indirect costs are included in the grant award Budget Information, SF-424A form.

- 11a. Type of Rate(s): Identify whether the indirect cost rate(s) is Provisional, Predetermined, Final or Fixed.
- 11b. Rate: Enter the indirect cost rate(s) in effect during the reporting period.
- 11c. Period From; Period To: Enter the beginning and ending effective dates for the rate(s).
- 11d. Base: Enter the amount of the base against which the rate(s) was applied.
- 11e. Amount Charged: Enter the amount of indirect costs charged during the time period specified. (Multiply 11b x 11d).
- 11f. Federal Share: Enter the Federal share of the amount in 11e.
- 11g. Totals: Enter the totals for columns 11d, 11e, and 11f.

**Petroleum Violation Escrow (PVE) Expenses:**

The PVE expenses section of the SF-425 should be filled out when a State has PVE as a funding source in its SEP budget and when PVE funds are expended during the reporting period. If a State has multiple sources of PVE, such as Stripper Well, Stripper-Match or Exxon, the individual sources should be broken out in this section. It is important to note that if a State has PVE in its budget for use as match, the expenditure should be reported **both** in Recipient Share of Expenditures (Line j.), as well as in the PVE section of this report. **All PVE expenditures (match or otherwise) should be reported in this section.**

**Leveraged Funds (Third Party Funds)**

The leveraged funds section of the SF-425 should be filled out when there are any third-party cash or in-kind contributions provided **in addition to** required cost match. **Cost match and leveraged funds are not the same and should be reported separately.** Leveraged funds reported should only include those funds that contributed to the SEP portion of the project and should be reported only when the project to which they were applied is complete.

**1b. Performance Report**

The Performance Report (referred to as the Progress Report in the recipient's Federal Assistance Reporting Checklist, FARC) requires the following information to be reported by market title. 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. Required items include:

1. Status: Indication of whether the market title is active or complete; and,
2. Percentage (%) 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**

Milestones should reflect achievements expected during the reporting period. Inclusion of detailed milestones is required for competitive awards.

### **Financial Metrics**

DOE requires the reporting of outlays at the market title level in the Quarterly Performance Report.

**Note:** Refer to SEP Program Notice series 10-008 for further clarification of expenditure of funds for financing programs.

### **Process Metrics**

Process metrics are programmatic outcomes necessary to determine the impacts of a specific market title. The full list of possible process metrics is listed in Attachment 1.

***How to choose process metrics:*** Recipients must choose at least one process metric per market title. However, recipients are encouraged to add as many process metrics to the market title as necessary to fully capture the results of the program or project.

*Example 1: Three process metrics would be needed to capture the full impacts of a market title that supports audits, building retrofits, and training. In this case, applicable process metrics would include, 'Energy Audits,' 'Retrofits,' and 'Training and Education/Technical Assistance'*

*Example 2: Two process metrics would be needed to capture the full impacts of a market title that supports both building retrofits and photovoltaic (PV) installations on municipal and commercial buildings. In this case, applicable process metrics would include, 'Retrofits,' and 'Renewable Energy Market Development.'*

**Note:** The 'Energy Audits,' 'Retrofits,' and 'Financial Instruments,' process metrics are also sector-specific. Using the example above, the recipient would have to distinguish municipal buildings retrofitted from commercial buildings retrofitted by reporting in separate lines.

***What to report:*** Recipients are required to report all selected process metrics during the reporting period. The recipient should enter zero in all the process metric areas where there was no activity in the quarter.

**Note:** For SEP market titles that support loan or grant programs that are administered by a third-party, the recipient should report under the process metric 'Financial Instruments' the number and

monetary value of the loans or grants issued by the third-party, not the amount of the subcontract between the prime recipient and the third-party.

***When to report:*** To avoid “double counting,” the process metrics should capture only the portion of the project completed during the reporting period. Any portion of a project’s completion should be reported once for the reporting quarter in which that discrete portion of the project was completed and once only.

*For example, a recipient implementing a market title to retrofit 20 buildings should choose the process metric area “Retrofits.” If the 20 buildings are completed in sets of five buildings (i.e., “discrete portions”) over the course of four quarters, the recipient should 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 further explain quarterly progress:

1. Infrastructure Investment Rationale: Explain the purpose and rationale behind the selection of the infrastructure project.

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

2. Remarks (Problems, Issues, Variance from Plan): Provide qualitative information (as described in the Federal Assistance Reporting Checklist, FARC) on the status of market title implementation. For example, describe the reasons for any delays in implementation or spending in the market title.
3. Accomplishments, Publicity, Good News: Provide information about progress made on the state’s projects, including successes.
4. Performance Outcome Data Collected: Provide information about any additional performance or impact metrics collected to support the market title.
5. Leveraged Funds: Provide information about funds leveraged during the quarter, including amount of funds, source of funds and for what the leveraged funds were used.

### **1c. Financial Programs Report**

***Who must report:*** Financial Programs Reports are required for recipients who continue to use Recovery Act funds through either self-administered or third-party administered programs, to fund financing programs or other projects or programs allowable under the SEP and approved by DOE, after the prime recipient’s Recovery Act grant closes.

***When to report:*** Recipients must report on a quarterly basis in PAGE.

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

**Note:** Those recipients who have received DOE approval to repurpose an ARRA financing program must utilize the “Financial Programs Report” to report progress on these activities.

#### **Financial Program Summary**

- a. Linked Grant: Auto-populated by PAGE. Indicates the recipient’s active SEP formula grant number.
- b. Financial Program Title: Enter the unique program name.
- 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 that 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 but 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 recipient 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 that 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 LLR and the total dollar value of those loans.
- f. Loans Supported By LLRs Written Off: By sector, enter the number of LLR-supported loans that have been closed due to non-payment and the amount of the LLR 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.

**RLF-Loan Default Details**

For any loan reported in default in the financial metrics section, please enter the recipient's name, original amount of loan, amount in default and the amount and date of last payment.

**Financial Metrics (Leveraged Funds)**

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.

**1d. Other Required Reports**

**Semi-Annual Davis Bacon Report**

Recipients that have ARRA-funded financing programs or grant programs must still comply with the Davis Bacon Act, which includes semi-annual reporting. Calendar year semi-annual reports are required on compliance with and enforcement of the labor standards provisions of the Davis-Bacon Act and its related acts covering the periods of October 1st through March 31st, and April 1st through September 30th, respectively. Please submit your semi-annual report to DOE in PAGE within 25 days after the end of semi-annual reporting period (i.e., by April 25th and October 25<sup>th</sup>) for applicable performance period.

**Annual Historic Preservation Report**

DOE financial assistance Recipients 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 requirements, Recipients must report annually to DOE regarding how they have met the National Historic Preservation Act requirements for activities that they are undertaking utilizing DOE funds over the previous year. The annual report is submitted to DOE via PAGE. After a Recipient enters the historic preservation information requested, click on the "sign and submit" button to submit the report to DOE.

The National Historic Preservation Act report for the reporting period September 1 through August 31 is due no later than September 15th.

**Annual Summary**

An Annual Summary must be submitted to the assigned Project Officer. The Annual Summary should describe high-impact or exceptionally innovative activities undertaken during the program year and include information related to: quantitative energy savings, grant funds allocated to activity, barriers and solutions, and lessons learned. The Annual Summary should also describe any significant energy-related legislative actions or policies enacted due, at least in part, to DOE formula funds. The Annual Summary must be submitted no later than 90 days following the end of the budget period.

## **2. GRANT CLOSE OUT**

The following are needed for award closeout, and are due 90 days after the grant's period of performance end date. Please also refer to the "Federal Assistance Reporting Checklist (FARC)" contained in award documents.

- 1) Final Quarterly Performance Report (QPR). Submitted through PAGE.
- 2) Final Quarterly Federal Financial Report (FFR). Submitted through PAGE.
- 3) Property Certification Reports (SF-428). Submitted to Project Officer.
- 4) Other final documents required for SEP Competitive awards.

All project work must be complete prior to the period of performance end date. States will then have 90-days to finalize payment for goods and services received during the period of performance, complete administrative tasks associated with closeout, and write and submit final progress and financial reports. Please note: PAGE does not allow new quarterly reports to be created past a grant's period of performance end date. To accommodate closeout activities and final reporting, Project Officers will reject the quarterly reports submitted for the final quarter, allowing States to revise and include final activities and costs. These revised reports will then be reviewed, and when approved, will serve as the grant's final reports.

## **CONCLUSION**

The State Energy Program 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. The State Energy Program 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. On a quarterly basis, it is required that SEP recipients report financial information and process metrics through PAGE. Additional reporting requirements are outlined in the Special Terms and Conditions and Federal Assistance Reporting Checklist issued with each SEP award. Reporting is an important component to demonstrating the impact and success of the SEP program and for monitoring the use of Federal funds.



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Attachment 1 SEP – Process Metrics List





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
		Compliance rate
2. Benchmarking, Sub-metering, and Energy Management	2a. Number of buildings/facilities in benchmarking tool, by sector	Number of buildings/facilities added to benchmarking tool
		Square footage of buildings added to benchmarking tool
		Number of buildings/facilities sub-metered
		Number of sub-meters added
		Square footage buildings with sub-meters added
		Number of buildings/facilities added to utility tracking program(s)
		Square footage of buildings added to utility tracking program(s)
3. Energy Audits	3a. Energy audits, by sector	Number of investment grade audits (IGAs) performed
		Number of non-investment grade audits (IGAs) performed
		Square footage of buildings/facilities audited
		Auditor’s projection of energy savings (kWh, therms, MMBTU, gallons of fuel, gallons of water)
		Average Daily Flow (MGD) of WWTF audited
		Number of projects started based on audits

Metric Area	Metric	Metric Item(s) to Report on
4. Retrofits	4a. Buildings retrofitted, by sector	Number of buildings retrofitted
		Square footage of buildings retrofitted
		Estimated project savings (KWh, therms, gallons of fuel, gallons of water, dollars)
	4b. Building automation systems (BAS) installed, by sector	Number of energy management systems installed
		Square footage of buildings with systems installed
	4c. Street lights retrofitted	Number of energy efficient streetlights installed
		Estimated project savings (KWh)
	4d. Water conservation retrofits made, by sector	Number of water conservation retrofits completed
		Number of water management systems installed
	4e. Wastewater treatment facilities retrofitted	Reduction in energy intensity (MMBTU/MG, MMBTU/kg BOD removed)
	4f. Manufacturing re-tooling, process improvements	Number of facilities with manufacturing space repurposed for clean energy products
		Square footage of manufacturing space repurposed for clean energy products
		Number of manufacturing lines retrofitted
	4g. Energy, water saved, by sector	Reduction in electricity consumption (MWh/year)
Reduction in water consumption (gallons/day)		
Reduction in fuel oil consumption (gallons/year)		
Reduction in natural gas consumption (MMcf/year)		
Dollars saved		

Metric Area	Metric	Metric Item(s) to Report on
5. Planning, Policy, and Studies	5a. Energy planning activities	Number of energy plans developed or updated
		Number of climate action plans developed or updated
		Number of energy baseline analyses/inventories developed or updated
	5b. Renewable energy feasibility studies	Number of renewable energy feasibility studies completed or updated
	5c. Transportation studies	Number of transportation efficiency studies completed
		Number of transportation feasibility studies completed
		Number of other transportation studies completed
		Number of multi-modal studies completed or updated
	5d. Economic policy analyses	Number of job studies completed or updated
		Number of supply chain analyses completed or updated
	5e. Energy security, emergency, resilience, and assurance activities	Number of energy assurance and/or energy security plans or studies completed or updated
		Number of energy resiliency plans or studies completed or updated
	5f. Grid modernization analyses	Number of grid modernization policies completed or updated
Number of smart grid technology incentives completed or updated		
5g. Energy storage analyses	Number of storage studies completed or updated	
5h. Microgrid analyses	Number of smart grid technology incentives completed or updated	
	Number of Microgrid site assessments completed or updated	
6. Energy Efficiency Certification, Rating, and Labeling	6a. Residential building labels	Number of residential labels generated
	6b. Building certification or rating programs	Number of commercial buildings certified (Energy Star, LEED, etc.)
		Square footage of buildings certified or rated
		Number of plants certified or rated (ISO 50001, Energy Star, Superior Energy Performance, etc.)
	6c. Policies or ordinances enacted (state, local, private)	Square footage of industrial plants certified or rated
		Voluntary certification/labeling policies or ordinances enacted
		Mandatory certification/labeling policies or ordinances enacted

Metric Area	Metric	Metric Item(s) to Report on
7. Financial Instruments	7a. Financial incentives provided, by sector and incentive type	Monetary value of financial incentives provided
		Total value of investments incentivized
	7b. Existing or new financial programs utilized/created, by sector and program type	Number of customers newly utilizing program
		Private dollars leveraged
		Total dollars invested as a result of financial mechanism
		Projected energy, cost savings
		Number of financial programs developed or updated
	7c. Loans and Grants by sector	Number of grants given
		Total monetary value of grants given
		Number of loans given
		Total monetary value of loans given
		Number of loans repaid
	7d. Energy Savings Performance Contracts, by sector	Monetary value of loans repaid
		Number of contracts signed
		Dollar value of contracts signed
7e. Energy Investment Partnerships/Green Banks	Projected savings (kWh/year)	
	Number of projects funded	
		Total monetary value of projects funded

Metric Area	Metric	Metric Item(s) to Report on
8. Renewable Energy Market Development	8a. Biofuel systems installed	Number of biofuel systems installed
		Total capacity of biofuel systems installed (gallons/year)
	8b. Biomass systems (non-transport) installed	Number of biomass (non-transport) systems installed
		Total capacity of biomass (non-transport) systems installed (kW)
	8c. Ground source geothermal systems installed	Number of ground source geothermal systems installed
		Total capacity of ground source geothermal systems installed (tons)
	8d. Hydropower systems installed	Number of hydropower systems installed
		Total capacity of hydropower systems installed (kW)
	8e. Solar photovoltaic (PV) electric systems installed	Number of solar PV electric systems installed
		Total capacity of solar PV electric systems installed (kW)
	8f. Wind energy systems installed	Number of wind energy systems installed
		Total capacity of wind energy systems installed (kW)
	8g. Renewable thermal systems installed	Number of solar thermal systems installed
		Total capacity of solar thermal systems installed (square feet)
Number of other renewable thermal systems installed		
Total capacity of other renewable thermal systems installed (Btu/hr)		
8h. Other renewable electric systems installed	Number of other renewable systems installed	
	Total capacity of other renewable systems installed (kW)	
9. Transportation Infrastructure and Vehicles	9a. Alternative fuel vehicles purchased, by fuel type	Number of alternative fuel vehicles purchased
	9b. Conventional vehicles converted to alternative fuel use by fuel type	Number of vehicles converted to alternative fuel use by fuel type
	9c. New alternative fuel stations emplaced	Number of new alternative refueling stations emplaced
	9d. Electric Vehicle Infrastructure	Number of charging station site assessments completed (e.g. expected usage)
		Number of charging stations installed
		Number of vehicle to grid pilot/demonstrations
9e. Vehicle miles traveled reduced	Number of vehicle miles traveled reduced annually (VMT/year)	

Metric Area	Metric	Metric Item(s) to Report on
10. Training and Education/ Technical Assistance	10a. Education and outreach conducted	Number of contacts reached via webinars, site visits, fact sheets, or other
		Number of workshops, training, and education sessions held
		Number of people attending workshops, training, and education sessions
	10b. Technical assistance provided	Number of participants
	10c. Workforce development	Number of people trained
		Number of professional certifications achieved
		Jobs retained (Full Time Equivalent) Jobs created (Full Time Equivalent)
	10d. Building codes and standards training conducted	Number of people trained
	10e. Energy assurance (security, emergency, resiliency) activities	Number of training sessions completed
		Number of workshops and tabletop exercises, training, and education sessions held
11. Other	11a. Administrative	Administrative (no associated metric)
	11b. Electric production, transmission, and distribution	Transmission and distribution energy efficiency improvements – estimated project KWh savings
	11c. Methane capture, by sector	Estimated methane captured (MMcf, dollars saved)
	11d. Energy storage systems	Number of battery storage systems installed
		Total capacity of battery systems installed (kW)
		Number of thermal storage systems installed Total capacity of thermal storage systems installed (KBtu/hr)
	11e. Combined heat and power (CHP)	Number of CHP screenings completed
		Number of feasibility studies completed
		Number of CHP Systems installed (technology and/or fuel type)
		Capacity of CHP systems installed (MW) Thermal output of CHP systems installed