

ROLES & RESPONSIBILITIES

MODULE THREE

2019



Introduction

Module Three provides an overview of roles and responsibilities for SEP Managers and DOE Project Officers working together for your state.

- SEP and the State Energy Offices (SEOs)
- Roles and Responsibilities: Overview
- Roles and Responsibilities: More Detail



Understanding Roles And Responsibilities

A quick overview:

Function	State SEP Manager	DOE Project Officer
Annual SEP Application	Create and submit	Review
Manage	Programs and projects	Grants
Reporting in PAGE	Submit	Review
Monitor	Sub-recipients	Grantees
On-Site Monitoring	Monitors projects and sub-recipients	Visit States
Technical Assistance	Request from DOE; provide technical assistance to sub-recipients, communities, etc.	Provide
Success Stories/ Best Practices	Submit story and photo	Request, review, post online

The following slides will review each function and responsibility in greater detail.

Understanding Roles And Responsibilities

State SEP Manager

Submit Annual SEP Application

Your state application is based upon your Program Year's Allocation and is submitted into the Performance and Accountability for Grants in Energy (PAGE) system.

The state application consists of:

- Standard Form 424 (application).
- Standard Form 424A (budget).
- Budget justification.
- Master file.
- Annual file.
- Various certifications.
- Link to the state's latest A-133 audit.
- Indirect rate agreement or proposed rates for review.
- Environmental questionnaire (if applicable).

DOE Project Officer

Review Annual SEP Application

Reviews each state application, specifically the annual file, master file, and budget justification, for completeness and ensures all proposed activities are eligible.

Next, a technical evaluation is completed by the project officer and submitted to the DOE Procurement and Contracting Team.

If necessary, additional information may be requested or a call set up to negotiate any aspect of the application prior to award.

Understanding Roles And Responsibilities

State SEP Manager

Manage Program and Projects

Oversee the day-to-day implementation of programs and projects as specified within the state's annual file.

- Setting/meeting goals and milestones.
- Ensuring the desired outcomes are achieved within the 12-month budget period.

DOE Project Officer

Manage Grants

Oversee the state's progress, typically through:

- Regularly scheduled calls.
- Frequent interaction via email.
- Providing guidance and technical assistance.

Understanding Roles And Responsibilities

State SEP Manager

Submit Reports in PAGE

The SEP Manager (or designee) will submit:

- Quarterly financial, programmatic, and, if required, financial programs reports 30 days after the end of the quarter.
- Annual Historical Preservation report.
- Semi-annual Davis Bacon report (if necessary).
- Annual Summary (must be submitted 90 days after the end of performance period).

DOE Project Officer

Review Reports in PAGE

The Project Officer will review all reports within 60 days after the end of the quarter.

The Project Officer may reject the report multiple times, even after approval, to have the grantee make corrections or updates to the data.

The Project Officer reviews items such as:

- Expenditures versus performance.
- Drawdowns and cost match.
- Qualitative and quantitative information.

Understanding Roles And Responsibilities

State SEP Manager

Monitor Sub-recipients

Monitors awards to sub-recipients following method listed in the SEP Annual State Plan's Master File.

Travels to on-site projects to ensure work complies with regulations and is done in a timely manner.

Ensures state and federal regulations are being followed.

DOE Project Officer

Monitor Grantees

Monitor grantees' progress through conferences calls, emails, tracking milestones, and reviewing the accomplishments in PAGE while comparing to money spent.

Understanding Roles And Responsibilities

State SEP Manager

On-site Programmatic Monitoring (DOE)

Complete the on-site monitoring instrument prior to DOE's visit. Items include:

- Organizational/management structure.
- Sample sub-recipient report.
- Administrative/program policies/procedures.

DOE Project Officer

On-site Programmatic Monitoring (DOE)

The project officer will travel to the state approximately once every three years to do an on-site visit.

- This will include a visit to the respective SEO and potentially on-site project visit(s) to a pre-selected sub-recipient's project.
- Prior to the visit, the project officer will provide the grantee with the tentative agenda.

Understanding Roles And Responsibilities

State SEP Manager

Request Technical Assistance

Requests technical assistance as needed from DOE through your Project Officer.

State provides technical assistance to sub-recipients, communities, local partners on its projects/programs.

DOE Project Officer

Provide Technical Assistance

Assists states by responding to technical assistance requests through a variety of means.

For example, states may request technical assistance in setting up a new type of financing program (e.g., commercial PACE). The Project Officer may provide guidance and support through:

- Best practices.
- Examples from other states with successful programs.
- Making a connection with an expert.

Understanding Roles And Responsibilities

State SEP Manager

Success Stories/Best Practices

Submit success stories to your Project Officer using the success story template to highlight successes and provide examples and possible replicable models (Implementation Models) for other states.

- Request the success story template from your Project Officer.
- Provide a picture to accompany the success story.

DOE Project Officer

Success Stories/Best Practices

Encourage grantee to submit success stories and review submitted ones.

Convert the success story template to a more reader-friendly story.

Post success story or Implementation Model on the [SEP webpage](#).

Thank You

If you have any questions, please contact your DOE Project Officer.

Next training module:

#4 THE “MUST KNOWS” OF UTILIZING MY SEP BUDGET

