Supporting Statement for State Energy Program Formula and Infrastructure Investment and Jobs Act Awards

Part A: Justification

OMB No. 1910-5126

Insert Collection Instruments

DOE Forms 540.1, 540.6, 540.1, 540.8

August 2026

U.S. Department of Energy

Washington, DC 20585

Table of Contents

Introduction

Provide a brief introduction of the Information Collection Request. Include the purpose of this collection, note the publication of the 60-Day Federal Register Notice, and provide the list of forms within this collection.

The purpose of this ICR is to collect information on the status of grantee activities related to State Energy Program (SEP) Annual Appropriations and the Infrastructure Investment and Jobs Act (IIJA), including total activities funded with grant funds, expenditures, and results, to ensure that program funds are being used appropriately, effectively, and expeditiously. The 60-day Federal Register Notice was published on June 30, 2026 and the comment period closes on August 30, 2026.

The SEP forms that make up this collection are:

- SEP Annual File (DOE F 540.1)
- SEP Quarterly Performance Report (DOE F 540.6)
- SEP Revolving Loan Fund (RLF) Quarterly Performance Report (DOE F 540.7)
- SEP Master File (DOE F 540.8)

A.1. Legal Justification

Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the information collection.

The United States Department of Energy (DOE) requires the revision of a previously approved collection of information for the State Energy Program (SEP), authorized in the Energy Independence and Security Act of 2007 (EISA), Public Law 110-140, and in the State Energy Program, 42 U.S.C. §§ 6321-6327, to continue collecting information required to respond to the Office of Management and Budget (OMB), congressional and consumer requests, budget preparation, and grant and financial administration. DOE provides Federal financial assistance and technical support to states and local governments under the EISA. Reports are used to monitor and ensure that grantees are following statutory requirements as stated in 42 U.S.C. §§ 6321-6327, as well as regulations set forth in 10 CFR 420. All grant awards made under this program shall comply with applicable law and regulations including the SEP Regulations contained in 10 CFR Part 420.

In order to adequately monitor, report, and ensure transparency and accountability the SEP requires quarterly reporting for this program. Under State Energy Program Notice (SEPN) 26-01 – for Program Year (PY) 2026, $64 million has been appropriated to allocate awards to the 50 states, five U.S. territories, and the District of Columbia.

Infrastructure Investments and Jobs Act (IIJA): In addition to the reporting documents for the SEP's annual appropriations, this collection also includes reporting for the $750 million delivered by the IIJA. The IIJA was passed by Congress on November 6, 2021 "to authorize funds for Federal-aid highways, highway safety programs, and transit programs, and for other purposes." The State Energy

Program is listed as an IIJA recipient under Title 1: Grid Infrastructure and Resiliency within Division D-Energy.

SEP Annual Appropriations: On January 23, 2026, the President signed the H.R. 6938, the Commerce, Justice, Science; Energy and Water Development; and Interior and Environment Appropriations Act, 2026, into law which appropriated $66,000,000 to the SEP. As noted in the SEPN 10-006E and the SEPN 22-01, SEP grantees will be required to report metrics related to the expenditure of these funds.

The SEP forms that make up this collection are:

- SEP Annual File (DOE F 540.1)
- SEP Quarterly Performance Report (DOE F 540.6)
- SEP RLF Quarterly Performance Report (DOE F 540.7)
- SEP Master File (DOE F 540.8)

A.2. Needs and Uses of Data

Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

All SEP information is used by DOE to determine program outcomes and answer congressional, budget, and public inquiries. Program staff utilize the information collected to track the recipients' activities, their progress in achieving scheduled milestones, and funds expended (including expenditure rates). It is also used to determine program compliance and set program goals and objectives as required in 10 CFR 420. The information is also used to align DOE resources with grantee activities for the purpose of developing and aligning technical assistance and best practices. Below are the DOE forms the agency plans to use under this collection.

- **SEP Annual File (DOE F 540.1):** The Annual File (DOE F 540.1) provides a format designed to gather specific detail related to the grant recipients' plans for how they will fulfill obligations related to the SEP formula grant and SEP IIJA grant, such as Technology/Topic Area, Program Year Descriptions, including Energy Savings, DOE-Funded Leveraging Activities, and Activity Milestones. The Annual File (DOE F 540.1) is a portion of the grantees' plans that typically changes from year to year based on funding.
- **SEP Quarterly Performance Report (DOE F 540.6**): The SEP Quarterly Performance Report (QPR) (DOE F 540.6) is designed to gather outcome and expenditure data to provide metrics showing how the grant recipient is implementing their respective DOE-funded state plans. This information is used to track outcomes and to respond to congressional and other inquiries regarding progress on grantees' SEP activities.
- **SEP Revolving Loan Funds Quarterly Performance Report (RLF QPR) (DOE F 540.7)**: The RLF QPR (DOE F 540.7) includes financial metrics in addition to those of the SEP Quarterly Performance Report (DOE F 540.6) that are needed for tracking and administering the RLF program.
- **SEP Master File (DOE F 540.8)**: The SEP Master File (DOE F 540.8) provides the grantee with a location to describe, via narratives, multiple aspects of the Energy Program. This includes strategy, reporting, and monitoring initiatives.

A.3. Use of Technology

Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses.

The DOE utilizes a web-based system called Performance and Accountability for Grants in Energy (PAGE), which allows DOE to administer the SEP grants online and provide all network users with access to current program records. PAGE reduces data redundancy and paperwork and provides a single access point for providing all requested reporting data including DOE forms 540.1, 540.6, 540.7, and 540.8. All grantees have PAGE access and can enter annual applications and reports directly into the system, and sign and submit them electronically to the DOE. Across the State Energy Program, 100% of responses are collected electronically through PAGE.

A.4. Efforts to Identify Duplication

Describe efforts to identify duplication.

The State Energy Program (SEP) is a unique and flexible initiative that provides formula grants and technical assistance to every U.S. state, territory, and the District of Columbia, supporting efforts to improve energy affordability, strengthen energy security, and advance their energy priorities. The forms in PAGE were designed to provide a consistent format for the collection of program information. This information will then be retrieved to answer programmatic questions and inquiries. The information collected is unique to DOE, therefore this collection is not duplicative.

A.5. Provisions for Reducing Burden on Small Businesses

If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

Neither small businesses nor other small entities are impacted.

A.6. Consequences of Less-Frequent Reporting

Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.

The Quarterly Performance Reports (DOE F 540.6) and the SEP RLF Quarterly Performance Report (DOE F 540.7) are essential for the Department of Energy to adequately monitor performance and to ensure transparency and accountability. For these reasons, the SEP mandates quarterly reporting for effective grant management and oversight. Annual reporting would not allow Project Officers to effectively determine if the grants' funds are being used in a timely, appropriate manner, and would prevent the SEP leadership from effectively updating budgetary performance and future budgetary requirements to Congress and OMB.

The Annual File (DOE F 540.1) and Master File (DOE F 540.8) state are required under 10 CFR 420 for base appropriations. If this information is not provided by the states to DOE, there would be no source of information to respond to congressional, budget, and general public inquiries of the program.

A.7. Compliance with 5 CFR 1320.5

Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines:

(a) requiring respondents to report information to the agency more often than quarterly;

(b) requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;

(c) requiring respondents to submit more than an original and two copies of any document;

(d) requiring respondents to retain records, other than health, medical government contract, grant-in-aid, or tax records, for more than three years;

(e) in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;

(f) requiring the use of statistical data classification that has not been reviewed and approved by OMB;

(g) that includes a pledge of confidentiality that is not supported by authority established in stature of regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or

(h) requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

The information collection is being conducted in a manner consistent with OMB guidelines.

A.8. Summary of Consultations Outside of the Agency

If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5CFR 320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken in response to the comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or report.

A 60-day FRN was published in the Federal Register FR DOC# 2026-13170 Pages 39608-39609 on Tuesday, June 30, 2026. No comments were received upon the comment period closed, August 30, 2026.

Pursuant to 5 CFR 1320.8(d)(1), Department of Energy (DOE) conducts regularly scheduled meetings with grantees where they can provide feedback regarding the administrative burden of completing the forms, data availability, collection frequency, clarity of instructions, and specific reporting elements. Additionally, DOE provides continuous technical assistance to ensure grantees understand these requirements. This support includes biennial national training forums, on-site monitoring of state energy offices, targeted webinars, and the dissemination of the State Energy Program (SEP) Program Notices.

A.9. Payments or Gifts to Respondents

Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

No payment or gift is being provided to the respondents.

A.10. Provisions for Protection of Information

Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

There is no identifiable confidential information being requested. The information is collected at the state level, and individual identifiable information is not requested.

A.11. Justification for Sensitive Questions

Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why DOE considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

There is no collection in this package that involves questions of a sensitive, personal, or private nature.

A.12A. Estimate of Respondent Burden Hours

Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and <u>an explanation of how the burden was estimated</u>. Unless directed to do so, DOE should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample fewer than 10 potential respondents is desirable.

Total number of respondents:

-56 unique recipients for both SEP Formula and SEP IIJA grants (DOE F 540.1, DOE F 540.6, DOE F 540.7 and DOE F 540.8).

Annual Number of Responses:

-*DOE 540.1, Annual File Base* – **56 respondents x 1** (once annually because of the SEP Formula funding source that will require one form), for a total of 56 annual responses

-*DOE 540.6, Quarterly Performance Report Base* – **56 respondents x 4** (one for each of the four quarters, because of the SEP Formula funding source that will require one form for each), for a total of 224 annual responses

-*DOE 540.6, Quarterly Performance Report IIJA Formula* – **55 respondents x 4** (one for each of the four quarters, because of the IIJA Formula funding source that will require one form for each), for a total of 220 annual responses

-*DOE 540.7, Quarterly Performance Report IIJA RLF* – **47 respondents x 4** (one for each of the four quarters; because of the RLF funding source that will require one form for each), for a total of 188 annual responses

-*DOE 540.8, Master File Base* – **56 respondents x 1** (once annually because of the SEP Formula funding source that will require one form), for a total of 56 annual responses

Burden Hours Per Response:

The Annual File is no longer required for IIJA formula and IIJA RLF funding sources and as such, hours decreased from an average of 40 to only 20 for the Base funding source (DOE F 540.1). The Master File is also no longer required for IIJA formula or IIJA RLF funding sources (DOE F 540.8).

The estimated burden hours per response remain unchanged: 16 hours per response for the Quarterly Performance Report Base and IIJA Formula (DOE F 540.6), 18 hours per response for the Quarterly Performance Report IIJA RLF (DOE F 540.7), and 8 hours per response for the Master File Base (DOE F 540.8).

Table A1. Estimated Respondent Hour Burden

Form Number/Title (and/or other Collection Instrument name)	Type of Respondents	Number of Respondents	Annual Number of Responses	Burden Hours Per Response	Annual Burden Hours	Annual Reporting Frequency
Annual File Base (DOE F 540.1)	Financial Personnel	56	56	20	1,120	1
Quarterly Performance Report Base (DOE F 540.6)	Financial Personnel	56	224	16	3,584	4
Quarterly Performance Report IIJA Formula (DOE F 540.6)	Financial Personnel	55	220	16	3,520	4
Quarterly Performance Report IIJA RLF (DOE F 540.7)	Financial Personnel	47	188	18	3,384	4
Master File Base (DOE F 540.8)	Financial Personnel	56	56	8	448	1
TOTAL			**744**		**12,056**	

A.12B. Estimate of Annual Cost to Respondent for Burden Hours

Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under 'Annual Cost to Federal Government'.

The hourly wage rate used to calculate the estimated respondent cost burden is the mean hourly wage[1] ($51.97) for "Project Management Specialists" taken from the Department of Labor website.

Table A2. Estimated Respondent Cost Burden

Type of Respondents	Total Annual Burden Hours	Hourly Wage Rate	Total Respondent Costs
States	12,056	$83.15	$1,002,456
TOTAL	**12,056**		**$1,002,456**

[1] May 2024 National Occupational Employment and Wage Estimates (bls.gov). *A 1.6 standard multiplier for government employees was used to convert the hourly wage ($51.97) to a fully burdened wage (i.e., wage plus benefits) of $83.15. From* http://www.bls.gov/news.release/ecec.nr0.htm

A.13. Other Estimated Annual Cost to Respondents

Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.

No other additional costs to respondents.

A.14. Annual Cost to the Federal Government

Provide estimates of annualized cost to the Federal government.

All forms are reviewed by DOE federal employees at a grade level GS-13 and step 1. The titles of reviewers are Energy Technical Project Specialists or Energy Project Specialists. The reviewers also serve as Project Officers to the grantees in a consistent manner.

-Annual File Base (DOE F 540.1): 2 hours per report x 56 reports = 112 hours
-Quarterly Performance Report Base (DOE F 540.6): 1 hour per report x 224 reports = 224 hours
-Quarterly Performance Report IIJA Formula (DOE F 540.6): 1 hour per report x 220 reports = 220 hours
-Quarterly Performance Report IIJA RLF (DOE F 540.7): 1 hour per report x 188 reports = 188 hours
-Master File Base (DOE F 540.8): 1 hour per report x 56 reports = 56 hours

Table A3. Annual Cost to the Federal Government

Form Number/Title (and/or other Collection Instrument name)	Hour Per Report	Number of Respondents	Annual Reporting Frequency	Annual Number of Responses	Total Hours	Total Annual Cost
Annual File Base (DOE F 540.1)	2	56	1	56	112	$10,456
Quarterly Performance Report Base (DOE F 540.6)	1	56	4	224	224	$20,913
Quarterly Performance Report IIJA Formula (DOE F 540.6)	1	55	4	220	220	$20,539
Quarterly Performance Report IIJA RLF (DOE F 540.7)	1	47	4	188	188	$17,552
Master File Base (DOE F 540.8)	1	56	1	56	56	$5,228
TOTAL				**744**	**800**	**$74,688**

Estimated Annual Cost in Dollars to the Federal Government (fully burdened rate)**:**

800 hours x $93.36 hourly wage rate[2] = $74,688.00

The fully burdened rate is based upon a total of 800 hours from Table A.3 multiplied by the hourly wage rate of $58.35 times the multiplier of 1.6.

This is based on the hourly rate of $58.35 for a GS 13-1.

A.15. Reasons for Changes in Burden

Explain the reasons for any program changes or adjustments reported in Items 13 (or 14) of OMB Form 83-I.

Annual reporting and recordkeeping hour burden was reduced for the following reasons:

- SEP Annual File (DOE F 540.1) is no longer required for IIJA Formula and IIJA RLF, thus reducing burden hours from 6,720 to 1,120.
- SEP Quarterly Performance Report (DOE F 540.6) was reduced from 10,752 to 7,104 burden hours as a result of a reduction in the reporting scope and the number of program participants for the IIJA programs.
- SEP RLF Quarterly Performance Report (DOE F 540.7) was reduced from 4,032 to 3,384 burden hours due to a decrease in the number of participants from 56 to 47. Nine (9) states are not participating in the RLF program going forward.
- SEP Master File (DOE F 540.8) is no longer required for the IIJA Formula and IIJA RLF programs, thus reducing the burden hours from 1,344 to 448.

Table A4. ICR Summary of Burden

Category	Requested	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Previously Approved
Total Number of Responses	744	N/A	(488)	1,232
Total Time Burden (Hr)	12,056	N/A	(10,792)	22,848
Total Cost Burden	$1,002,456	N/A	($727,366)	$1,729,822

A.16. Collection, Tabulation, and Publication Plans

For collections whose results will be published, outline the plans for tabulation and publication.

There are no plans for publication.

A.17. OMB Number and Expiration Date

If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

[2] SALARY TABLE 2026-DCB (opm.gov)

The Department is not seeking an exemption to display the expiration date for OMB approval of the information collections contained in this package.

A.18. Certification Statement

Explain each exception to the certification statement identified in Item 19 of OMB Form 83-I.

There are no exceptions to the certification statement identified in item 19, “Certification for Paperwork Reduction Act submissions” of OMB form 83-I.