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# **U.S. Department of Energy**

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## **Weatherization Assistance Program for Low-Income Persons**

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### **APPLICATION INSTRUCTIONS AND FORMS**

U.S. Department of Energy  
Office of Weatherization and Intergovernmental Program  
1000 Independence Avenue, SW, EE-2K  
Washington, DC 20585

November 2005

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**U.S. DEPARTMENT OF ENERGY**

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**WEATHERIZATION ASSISTANCE PROGRAM  
FOR LOW-INCOME PERSONS**

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**APPLICATION PACKAGE**

**I. OVERVIEW**

**I.1 INTRODUCTION**

The following application package is to be used by all state (and local, if applicable) agencies applying for grants administered by the U.S. Department of Energy's (DOE), Weatherization and Intergovernmental Program, through DOE's Regional Offices, under the Weatherization Assistance Program for Low-Income Persons. The application package was updated in November 2005 for incorporation in Program Year (PY) 2006. Many of the budget and reporting forms have been revised to reflect changes in the application and reporting processes required to integrate the Weatherization Assistance Program into the government-wide *Grants.gov* system.

**I.2 APPLICATION PACKAGE STRUCTURE**

**I.2.1 Annual File and On-File Information**

Formerly, since many of the items included in a state's grant application do not change from year to year, the required grant application components were divided into two "files." The "Annual File" contained all the grant application components that changed annually (e.g., budget, production schedule, training and technical assistance activities, etc.). The "Master File" contained the application components that were generally unchanged from the previous year (e.g., the state's climatic conditions, the extent to which priority will be given to the weatherization of single-family or other high energy consuming dwelling units, etc.). However, to streamline the application package, states will no longer be required to prepare a Master File, but must maintain up-to-date information consistent with the program guidance on file at the state office that demonstrates how the state continues to meet the minimum program requirements. If no changes occur, the On-File information will remain at the state and be monitored by Regional Office staff during routine monitoring visits. If a state initiates changes to items that are part of the On-File information, those changes must be captured in the Annual File under section II-10 "Adjustments to On-File Information."

Applicants should use the checklist in Section I.3 of this package to cross-reference rule sections to grant application components. The checklist can also be used to determine if a particular grant application component belongs in the Annual File or should merely be kept on file.

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## **I.2.2 Grant Application Format**

The format of the grant application has been standardized for national consistency and to expedite review. All applicants shall use the following format in the preparation of their grant application.

### **Part I - Annual File**

- (1) Grant Application -- Standard Form 424 Version 2
- (2) Budget -- Standard Form 424A
- (3) Subgrantees
- (4) Production Schedule
- (5) Energy Savings
- (6) Training, Technical Assistance, and Monitoring Activities
- (7) Leveraging Activities
- (8) Policy Advisory Council
- (9) Hearings and Transcripts
- (10) Adjustments to On-File Information
- (11) Miscellaneous
- (12) Assurances and Certifications

### **Part II - On-File Information**

- (1) Eligible Population
- (2) Climatic Conditions
- (3) Weatherization Analysis of Effectiveness
- (4) Health and Safety
- (5) Rental Procedures
- (6) Program Management
  - < Overview
  - < Administrative Expenditure Limits
  - < Monitoring -- Approach
  - < Training and Technical Assistance -- Approach

### I.3 LOCATION OF GRANT APPLICATION COMPONENTS

S t a t e	R O	Grant Application Component	Location		Page #
			Annual File Section #	On File at State Office	
X	X				
		1. The name and address of the state agency or office responsible for administering the program. SF 424 will satisfy requirement.	II.1		II - 1
		2. Final state plan.			
		A. Production schedule.	II.4		II - 6
		B. An estimate of the number of dwelling units, including re-weatherized units, expected to be weatherized during the program year.	II.4		II - 6
		C. An estimate of the amount of energy to be conserved.	II.5		II - 6
		D. Each area to be served by a weatherization project within the state, and shall include for each area:	II.3		II - 6
		i) The tentative allocation;	II.3		II - 6
		ii) The number of dwelling units expected to be weatherized during the program year; and	II.3		II - 6
		iii) For each subgrantee, provide address, type of agency, sources of labor and Congressional district and counties served.	II.3		II - 6
		E. The manner in which the state plan is to be implemented shall include:			
		i) An analysis of the existence and effectiveness of any weatherization project being carried out by a subgrantee;		X	III - 2
		ii) An explanation of the method used to select each area to be served by a weatherization project;		X	III - 1
		iii) The extent to which priority will be given to the weatherization of single-family, high residential energy users, or households with a high energy burden;		X	III - 1
		iv) The amount of weatherization grant funds tentatively allocated to the state;	II.2.3		II - 6

S t a t e  X	R O  X	Grant Application Component	Location		Page #
			Annual File Section #	On File at State Office	
		v) The average amount of the DOE funds specified in §440.18 (c)(1)-(9) to be applied to any dwelling unit;	II.4		II - 6
		vi) The procedures used by the state for providing additional administrative funds to qualified subgrantees as specified in §440.18(d);		X	III - 3
		vii) The definition of "low-income" for use, statewide, in accordance with §440.22(a) which the state has chosen for determining eligibility;		X	III - 1
		viii) The definition of "children" which the state has chosen; and		X	III - 1
		ix) The amount of federal funds to be used, and an explanation of how they will be used, to increase the amount of weatherization assistance that the state obtains from non-federal sources, including private sources, and the expected leveraging effect to be accomplished.	II.2.1, II.2.2, II.7		II - 1, II - 2, II - 8
		3. Budget information (SF 424A)	II.2.1		II - 1
		4. Budget narrative/justification.	II.2.3		II - 6
		5. Recommendation that a tribal organization be treated as a local applicant, if such recommendation is to be made.		X	III - 1
		6. Health and safety plan		X	III - 2
		7. Rental plan		X	III - 2
		8. Training, technical assistance, and monitoring plan	II.6		II - 7
		9. Training, technical assistance, and monitoring approach		X	III - 3



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## **II. ANNUAL FILE**

### **II.1 GRANT APPLICATION -- STANDARD FORM 424**

A completed and signed Standard Form 424 Version 2 (expiration 07-31-06) is required of each agency applying for federal funding including the U.S. Department of Energy's Weatherization Assistance Program for Low-Income Persons. A copy of this form is located in Section V. Please note that Standard Form 424 Version 2 is required for subsequent funding changes (federal and non-federal).

### **II.2 BUDGET**

#### **II.2.1 Standard Form 424A**

Applications must include the budget for total funds applied for under the Energy Conservation and Production Act, as amended, which shall include a justification and explanation of any amounts requested for expenditure pursuant to §440.18(d) for state administration. For this purpose, please complete the Standard Form 424A (OMB No. 0348-0044) included in Section V in accordance with the instructions on the back of the form, as modified below.

Applicants should note the restrictions put on expenditures of their funds by the regulations.

- Section A: Budget Summary Lines 1-4, Columns (a) through (g)
  - (1) On line 1, enter new and unexpended DOE (carryover from prior year) and/or grantee funds.
    - a. States planning to carryover unused training and technical assistance funds from one program year to another must return these monies to the program budget category and use these funds to weatherize additional homes, unless they can justify to their respective Regional Office adding these carryover funds to their new training and technical assistance amounts.
  - (2) Use separate line for each other funding source, e.g., Petroleum Violation Escrow (PVE), state, utility, program income, LIHEAP, and non-DOE.
- Section B: Budget Categories
  - (1) The column headings (1) through (4), etc., titled Grant Program, Function, or Activity are defined as Grantee Administration, Subgrantee Administration, Grantee Training and Technical Assistance (T&TA), Subgrantee T&TA, Program Operations, Vehicles and Equipment, Liability Insurance, Leveraging, Health & Safety, and Financial Audit. The 'Total' column on page 1 shall reflect all totals for all three (3) pages. The total in column g, Section A should equal the total of all columns in Section B.

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(2) On lines 6(a-h), if the grant program, function, or activity relates solely to subgrantee expenditures, the total estimated cost should be reflected in the contractual category.

(3) A detailed justification and explanation for grantee administration must be included, in accordance with 10 CFR 440.12(b)(3). All amounts categorized as 'other' must be supported with a detailed listing of items and costs.

## II.2.2 Budget Categories

The following supplemental instructions provide definitions and examples of the required budget categories. The column and page notations in parentheses following each budget category refer to Section B of Standard Form 424A.

- Administrative Categories

The combined amount for both Grantee Administration and Subgrantee Administration can be no more than 10 percent of the total new funds to be awarded. Total new funds = new DOE + new non-federal.

The Weatherization Assistance Program legislation and regulations do not define the Administrative Cost Categories. Any expenditure, allowable by Office of Management and Budget (OMB) cost principles, by a grantee or subgrantee in carrying out this program may be charged as Administrative Costs. However, certain costs in this program, by exclusion from other categories, can only be administrative. Grantee Administration and Subgrantee Administration are considered to be unique to each organization. The organization shall define its administrative costs consistent with the generally-accepted accounting practices and procedures within the organization. Indirect costs can be included in Grantee Administration and will be considered an allowable cost provided an indirect rate or amount is federally approved. The rate/amount allowable does not invalidate the program budget category limits.

- Grantee Administration (column 1, page 1 of 3)

- Amount can be no more than 5 percent of the funds to be awarded as defined above.
- Cost allocation between this category and grantee T&TA must be in accordance with 10 CFR 600 and cost principles contained in OMB Circular A-122 and OMB Circular A-87. Grantee administration costs in this category and any administrative-type cost, as defined above, listed in grantee T&TA budgets (that are not T&TA specific) must be considered together to ensure grantee administrative costs do not exceed the maximum.

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- Subgrantee Administration (column 2, page 1 of 3)
    - Amount can be no less than 5 percent of the funds to be awarded as defined above, except if grantee receives less than \$350,000 of new DOE funds.
    - Examples include:
      - Telephone costs, including long distance charges, incurred by the weatherization program;
      - Salary and fringe benefits of the weatherization coordinator when not carrying out the functions allowed under program support;
      - Salaries and fringe benefits of secretaries, fiscal personnel, and other administrative staff;
      - Those administrative costs not covered under other defined categories; for example, space, copying, and supplies.
  - Grantee T&TA and Subgrantee T&TA (columns 3 and 4, page 1 of 3)
    - Maximum amount to be budgeted is included with the annual allocation notice from DOE.
    - Allowable expenditures defined by 10 CFR 440.23 include:
      - Training and Technical Assistance for any grantee or subgrantee; and
      - Providing information concerning conservation practices to occupants of eligible dwelling units.
  - Program Operations (column 1, page 2 of 3)
    - States are encouraged to combine Materials, Program Support Less Labor, and Labor categories into a single budget category titled “Program Operations.”
    - Materials listed in 10 CFR 440
    - Materials purchased for incidental repairs as defined in 10 CFR 440.3.
    - Transportation of weatherization materials, tools, equipment, and work crews to a storage site and to the site of weatherization work.
    - Maintenance, operation, and insurance of vehicles used to transport weatherization materials.

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- Maintenance of tools and equipment.
  - Purchase or annual lease of tools, equipment, and vehicles under \$5,000, except that purchase of vehicles shall receive prior DOE approval. The required purchase of building permits from local governments is allowable under this category.
  - Employment of supervisory personnel:
    - This category is defined for general consistency purposes as the personnel that are involved in supervising the on-site labor. The percentage of the weatherization coordinators' salary and fringe benefits spent in actual supervision of labor may be included in this category.
  - Storage of weatherization materials, tools, equipment, and weatherization vehicles.
    - This would include utilities at warehouse only, i.e., heat, lights, and water.
  - Labor category expenditures are limited to those defined in 10 CFR 440.19 including:
    - Wages paid to training participant, public service employment workers, or other Federal or state training programs; and
    - Payments to employ labor or engage contractors including:
      - Payments to subcontractors;
      - Salaries and fringe benefits of crew members; and
      - Salaries and fringe benefits of crew leaders.
  - This category includes initial inspectors, quality control persons, field supervisors who are not installing materials, and warehouse personnel, such as inventory clerks, who are engaged in handling materials.
  - Health and Safety (column 2, page 2 of 3)
    - The amount of federal funds to be used to mitigate energy-related health and safety hazards, the elimination of which is necessary before, or because of, installation of weatherization materials in accordance with 10 CFR 440.16(h) and 440.18(c)(15). The health and safety cost category may include materials and labor, or just materials. If budgeted and reported separately under the health and safety cost category, these costs are not included in the average cost per unit. However, if these costs are budgeted and reported under the Program Operations cost category, these costs are included in the average cost per unit.

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- Vehicles and Equipment \$5,000 or more (column 3, page 2 of 3)
    - Vehicles and equipment means tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. A grantee may use its own definition of vehicles and equipment provided that such definition would at least include all equipment defined above.
    - The full cost of purchased vehicles and equipment \$5,000 or more should be listed in the budget. The amortized amount will be reported quarterly if the State elects. States are permitted to include in their average cost calculations only that fraction of the cost of a new vehicle or equipment (provided the vehicle or equipment cost \$5,000 or more and has a useful life exceeding one year) which was actually "used" during the current year, see §440.18(b)(3). Such an approach does not affect the ability of States or local agencies to use current funds to pay for the full purchase cost of such investments.
    - Grantees are required to obtain DOE approval prior to purchasing new vehicles and equipment.
  - Liability Insurance (column 4, page 2 of 3)
    - Cost of liability insurance for the weatherization projects general liability, for personal injury, for property damage, and the costs associated with Pollution Occurrence Insurance coverage. This was established to cover general agency liability insurance and not vehicle liability insurance.
  - Leveraging (column 1, page 3 of 3)
    - The leveraging column can consist of one or more of the following sources of funds:
      - (1) Portion of the federal grant (including PVE funds used under the Weatherization Program) or a portion of T&TA funds for leveraging activities to be used in accordance with 10 CFR 440.14 (c)(6)(xiv);
      - (2) Grantee funds to be used in combination with federal funds for leveraging activities under the Weatherization Program.
  - Financial Audit (column 2, page 3 of 3)
    - The cost of subgrantee weatherization program financial audits as required by 10 CFR 440.23(d). States may not budget for subgrantees expending less than \$500,000 in federal funds.

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### **II.2.3 Budget Justification**

The budget justification, required each year in the Annual File, corresponds to Line 6, Section B of SF 424A and the GO-PF20a which asks for additional detail. The format of the budget justification/narrative shall follow, in order, the object class categories listed on the GO-PF20a form and on Line 6, Section B of SF 424A. Please note that the states should provide their best estimate of each budget category at the time of submittal. Categories include:

a. Personnel; b. Fringe Benefits; c. Travel; d. Equipment; e. Materials and Supplies; f. Contracts and Subgrants; g. Other Costs; and h. Indirect Costs. The forms are located in Section V of this package.

### **II.3 SUBGRANTEES**

A list of subgrantees shall be included that provides the name, address, type of organization (e.g., local action agency, non-profit, tribal organization, or unit of local government), tentative allocation, number of dwelling units expected to be weatherized during the program year, the sources of labor, and the congressional district(s) and counties served.

### **II.4 PRODUCTION SCHEDULE**

The Annual File must include the total number of dwelling units proposed to be weatherized under the program rule with grant funds during the budget period for which assistance is to be awarded, with financial assistance previously obligated under this part, and with the tentative allocation to the state. A completed production schedule will satisfy this requirement. The form to be used for specifying the production schedule is included in Section V of this package.

The production schedule has space to calculate the average cost per dwelling unit for program operations, per §440.14(c)(6)(viii).

### **II.5 ENERGY SAVINGS**

Applicants shall provide an estimate of the amount of energy to be conserved, pursuant to §440.14(c)(4). The estimate and the methodology used to estimate energy savings shall be clearly explained including the information sources for energy savings per unit. Applicants shall also quantify how much energy was saved in the preceding program year and compare it to the estimate given last year. For states that have not developed a methodology for computing energy savings, applicants can use the following formula:

<b>DOE Program</b>	<b>Amount</b>	<b>Line</b>
Total DOE State Weatherization Allocation		(a)
Total Cost associated with Administration, T&TA, Financial and Energy Audits or 15% of allocation		(b)
Subtract the amount entered in line (b) from line (a), for a total Federal (DOE) funds available to weatherize homes		(c)
State Average Cost per Home or National WAP Program Year Average Cost per Home (i.e. PY2006 \$2,826)		(d)
Divide the amount entered on line (c) by the amount entered on line (d), for Total Estimated Homes to be Weatherized		(e)
Multiply (e) by 30.5 MBTU* for Total Annual Estimated Energy Savings resulting from DOE appropriated funds		(f)
<b>All Funding Sources</b>		
Total funds (e.g., DOE WAP, State, Leveraged, LIHEAP, and other non-Federal sources of funds) used by the State to weatherize homes		(g)
Total cost associated with the administration of Weatherization funds or 15% of total funds available to weatherize homes		(h)
Subtract the amount entered in line (h) from line (g), for total funds available to weatherize homes		(i)
State Average Cost per Home or National WAP Program Year Average Cost per Home (i.e., PY2006 \$2,826)		(j)
Divide the amount entered on line (i) by the amount entered on line (j), for Total Estimated Homes to be Weatherized		(k)
Multiply (k) by 30.5 MBTU* for Total Annual Estimated Energy Savings resulting from all funding sources		(l)

\* The most recent Metaevaluation of the National Weatherization Assistance Program (ORNL/CON-493) estimates annual savings of 30.5 MBtu per year for natural gas heated homes. The study incorporates state-level evaluations for the period 1993-2005. While slightly lower than the estimated savings from the first Metaevaluation, which was 31.2 MBtu, the degree of confidence associated with the current estimate is higher because the greater number of studies included in the analysis. The current Metaevaluation result is considered a reasonable and conservative proxy for average energy savings from households of all fuel types.

The methodology and detail of state program evaluations vary significantly. Applying national average unit savings to production data may skew state-level energy savings estimates. For these reasons, DOE is revisiting the approach used to estimate energy savings.

## **II.6 TRAINING, TECHNICAL ASSISTANCE, AND MONITORING ACTIVITIES**

Applicants shall indicate the methods used to provide training and technical assistance to subgrantees, and the methods employed to ensure quality of work and adequate financial management control at the subgrantee level. While the overall approach to training, technical assistance, and monitoring may be constant, budgets and activities may change from year to year. For this reason, the Annual File should contain a description of the activities to be undertaken during the program year with funds budgeted for training, technical assistance, and monitoring on SF 424A under either T&TA or Administrative cost categories. Milestones should be established and due dates should be estimated. States shall provide annual updates to the Regional Offices describing the training, technical assistance, monitoring, and leveraging activities that have occurred in the previous year. The format for reporting this information is located in Section V. Information that indicates the overall approach to training, technical assistance, and monitoring is to be on file at the state office.

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## **II.7 DOE-FUNDED LEVERAGING ACTIVITIES**

§440.14(c)(6)(xiv) requires that grantees provide the amount of federal funds to be used, and an explanation of how they will be used, to increase the amount of weatherization assistance to low-income clients. Leveraging means the obtaining by a state of additional program-targeted non-federal cash or in-kind contributions as a result of the Weatherization Program-funded activities. The amount of federal funds to be used for leveraging will be indicated by the applicant on SF 424A.

In this section, states shall provide an explanation of how these funds will be used to obtain non-federal resources, how funds leveraged will be used to support the DOE Weatherization Program, the leveraging effect of those funds, and the rationale for the amount of funds being used.

When using base program monies, funds must be used to obtain non-federal resources to: increase the number of low-income homes weatherized, and/or increase the scope or type of services provided to low-income homes. States are encouraged to leverage one dollar for every dollar expended. As mentioned in Section II.6, states shall provide annual reports to the Regional Offices describing training, technical assistance, monitoring, and leveraging activities that have occurred in the previous year. A format for reporting this information is located in Section VI.

## **II.8 POLICY ADVISORY COUNCIL**

A state Policy Advisory Council (PAC) or a State commission or council shall be established in accordance with 10 CFR 440.17. Provide the names, groups, organizations, or agencies represented by the PAC members and a list of the PAC meeting(s) attendees.

## **II.9 HEARINGS AND TRANSCRIPTS**

Section 440.14 of the regulations requires that one or more hearing(s) be held to receive comments on the proposed state plan. Either the unofficial notes, unofficial minutes or the official transcript(s) from the hearings must be sent to the Regional Office, as indicated in the program guidance. States are required to give public notice at least 10 days prior to the hearing. In their applications, states may document compliance with the public notice requirement by providing the names of the newspapers that publicized the hearing and the dates that the notice ran. States are also required to make the state plan available throughout the state prior to the hearing.

It is important to note that hearing(s) should address all of the subgrantees which may be funded during the course of a budget period, whether those subgrantees will be funded initially, or will serve as alternates. Otherwise, it will be necessary to hold additional hearings when a new subgrantee is funded during the budget period. Also, it is encouraged that your state plan emphasize the state allocation formula and process used to determine local funding levels as well



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as what the anticipated amounts are likely to be. By doing so, subsequent hearings will not be necessary if rescissions or supplemental funding results in the alteration of specific funding amounts for the subgrantees. The distribution or retention of funds during the budget period should follow the same formula identified for the initial distribution of funds, therefore, no additional public hearing would be required.

## **II.10 ADJUSTMENTS TO ON-FILE INFORMATION**

Any changes to the On-File information captured in Section III of this package are required to be submitted in this section of the annual package. This includes only items that have changed since the previous program year.

## **II.11 MISCELLANEOUS**

This section is available for states to use for any activities that are not routinely administered as part of the Weatherization Assistance Program (e.g., disaster relief, energy crisis response) or there is no other section of the annual file specifically noted to describe the activities.

## **II.12 ASSURANCES AND CERTIFICATIONS**

Unless the applicant has reviewed and determined they have submitted a current Master Document File (MDF) following the procedure indicated by the National Energy Technology Laboratory (NETL), the applicant shall sign and attach the following assurances and certifications to the grant application:

- (1) Nondiscrimination in Federally Assisted Programs, DOE F 1600.5 (Revised 6-94); and
- (2) Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements, FA-CERTS (Revised 3-97).

Other assurances and certifications used in the past are no longer required. Examples of certifications that are no longer required include: Certification Regarding Debarment, Suspension, Other Responsibility Matters - Lower Tier Covered Transactions, and Disclosure of Lobbying Activities, Standard Form LLL.

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### **III. ON-FILE INFORMATION**

As of PY04, states are no longer required to submit “Master File” information, but rather, must maintain information on file at the state office that illustrates how the state meets minimum program requirements. Section III describes the type of information that must be kept on file. *(Note – For states that currently make all edits into WinSAGA directly, it will be important to copy the Master File information into a file that can be easily accessed. At some point, the information will no longer be able to be pulled from WinSAGA.)*

#### **III.1 ELIGIBLE POPULATION**

Information should describe the population within their state, or region, that is eligible to receive weatherization services. Priorities given to certain portions of the eligible population should also be described.

##### **III.1.1 General Description**

The definition of "low income" that the state has chosen for use statewide to determine eligibility under §440.22(a) shall be kept on file per §440.14(c)(6)(xii). Applicants should briefly describe their procedures, in accordance with §440.16(a), to ensure that no dwelling unit is weatherized without documentation that the unit is an eligible dwelling unit. The definition of "children," consistent with §440.3, that the state has chosen shall be kept on file as required by §440.14(c)(6)(xiii).

Applicants shall keep on file a statement, in accordance with §440.16(f), that low-income members of an Indian tribe will receive benefits equivalent to the assistance provided to other low-income persons within the state unless the applicant has made the recommendation provided in §440.12(b)(5). In such a case, the applicant shall provide a recommendation that a tribal organization be treated as a local applicant eligible to submit an application pursuant to §440.13(b), if such a recommendation is to be made.

##### **III.1.2 Selection of Areas to be Served**

Applicants shall keep on file, per §440.14(c)(6)(ii), an explanation of the method used to select each area to be served by a weatherization project.

##### **III.1.3 Priorities**

Applicants shall keep on file any priorities given to certain portions of the eligible population in receiving weatherization assistance. Specifically, as required by §440.16(b), briefly describe procedures to ensure that priority is given to the elderly and persons with disabilities. Such priority as the applicant has determined as appropriate given to children, high residential energy users, and households with a high energy burden should also be explained.

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### **III.2 WEATHERIZATION ANALYSIS OF EFFECTIVENESS**

The type of weatherization work to be done and the energy audit and final inspection procedures used in the state are reviewed by DOE as part of the energy audit approval process and, therefore, need not be kept on file separately as part of the grant application process.

However, an analysis shall be kept on file, per §440.14(c)(6)(i), of the existence and effectiveness of any weatherization project being carried out by a subgrantee including how the effectiveness of subgrantee weatherization is assessed; how productivity and energy savings between subgrantees are compared; and how the comparisons are used in the development of T&TA activities and priorities.

### **III.3 HEALTH AND SAFETY**

The final rule, published March 4, 1993, revised the purpose and scope of the Weatherization Assistance Program to improve the health and safety of low-income persons served by the program, especially those that are particularly vulnerable such as the elderly, the handicapped, and children. In light of this fundamental addition to the program, applicants shall keep on file their health and safety plan. Weatherization Program Notice 02-5 addresses topics related to the development of a health and safety plan.

Applicants must keep on file a list of: (1) the energy-related health and safety hazards to be mitigated with DOE funds; (2) permissible materials; and (3) the cost of the materials used to mitigate such hazards. As described in §440.16(h), DOE will monitor the list based on the following criteria: (1) elimination of such hazards is necessary before, or as a result of, the installation of weatherization materials; and (2) the grantee sets forth a limitation on the percent of average dwelling unit costs that may be used to mitigate such hazards, which is reasonable in light of the primary energy conservation purpose of the Weatherization Assistance Program.

It should be noted that costs to mitigate health and safety hazards are not included in the average cost per unit if these costs are budgeted and reported separately under the health and safety cost category. However, if these costs are budgeted and reported under the Program Operations cost category, these costs are included in the average cost per unit.

### **III.4 RENTAL PROCEDURES**

Applicants shall keep on file how they will ensure that the benefits of weatherization to occupants of rental units are protected in accordance with §440.22(b)(3). Applicants are requested by the U.S. Department of Energy to satisfy this requirement by keeping on file rental plans or procedures that address protection of renters' rights as specified in §440.22(b)(3) and §440.22(c)-(e).

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## **III.5 PROGRAM MANAGEMENT**

### **III.5.1 Overview**

#### ***Organization***

Applicants shall keep on file a description of the organization that operates the weatherization program. The description shall illustrate how weatherization activities are structured within the organization, as well as show the relationship of the weatherization organization to other units of the state government.

### **III.5.2 Administrative Expenditure Limits**

As §440.18(d) explains, not more than 10% of any grant made to a state may be used by the grantee and subgrantees for administrative purposes -- not more than 5% may be used by the state, and not less than 5% must be made available to subgrantees by the state. However, a state may provide up to an additional 5% to subgrantees receiving grants of less than \$350,000 of new DOE money. In other words, a state may make available up to 10% to certain, qualified subgrantees. In these special cases, a total of up to 15% of the grant would be allowable for administrative purposes. Should the state elect this option, applicants should keep on file the procedures used by the state for providing additional administrative funds to qualified subgrantees as specified in §440.18(d).

### **III.5.3 Monitoring -- Approach**

Applicants shall keep on file the method used to ensure the quality of work and adequate financial management control at the subgrantee level. The overall monitoring approach shall be described here, including the monitoring method used to ensure quality of work and financial management control, and the percentage of T&TA funds spent on monitoring. Monitoring activities specific to the program year covered by the grant application should be described in Section II.6 and should be reported on an annual basis as described in Section IV.4.3.

### **III.5.4 Training and Technical Assistance -- Approach**

Applicants shall keep on file their overall approach to training and technical assistance, including client education, how effectiveness of T&TA activities is addressed, how subgrantee needs are assessed, whether certification or training of subgrantee staff is required prior to hire (including a description of the requirements), and where funds will be retained/deployed. Specific training, technical assistance, and client education activities for the program year covered by the grant application should be described in Section II.6 and reported on an annual basis as described in Section IV.4.3.

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## **IV. FEDERAL FINANCIAL REGULATIONS**

### **IV.1 DOE FINANCIAL ASSISTANCE RULES**

The DOE Financial Assistance Rules, 10 CFR 600, establish uniform policies and procedures for the award and administration of DOE grants and subgrants, and can be found at <http://www1.pr.doe.gov/f600toc.html>.

### **IV.2 OMB COST PRINCIPLES**

10 CFR 600 requires grant recipients to follow the OMB cost principles contained in OMB A-87 for governmental and OMB A-122 for non-profit organizations, which set forth the principles for determining the allowable costs of programs under grants, contracts, and cooperative agreements with the federal government. The following information on OMB cost principles was taken from the *Subgrantee Weatherization Fiscal Management Manual*, developed by ACKCO, Inc, and funded by DOE. This is only a summary. Should a question arise, refer to 10 CFR 600 for the specific regulation.

The cost principles address four major areas:

- Basic Guidelines for Costs;
- Indirect Costs;
- Cost Allocation Plan; and
- Allowability for Selected Costs

#### **IV.2.1 Basic Guidelines for Costs**

- Costs are allowable if they are necessary and reasonable, not prohibited under state or local laws, conform to laws and regulations, given consistent treatment, comply with generally accepted accounting principles, and are not included as a cost under other federal programs.
- Allocations of costs must be in proportion to the benefits received, cannot be shifted to overcome deficiencies in other programs, and must be supported by a cost allocation plan.
- Applicable credits are to be used to reduce expenditures applicable to a given grant.
- The total cost of a grant program is comprised of the allowable direct and allowable indirect costs less applicable credits.

## IV.2.2 Indirect Costs

Indirect costs are costs incurred for a common purpose, benefiting more than one program, and not readily allocable among individual programs based on their proportionate shares of benefits derived. All indirect costs must be negotiated with a cognizant federal agency. The cognizant federal agency is responsible for negotiating and approving indirect cost rates on behalf of all federal agencies that award grants and contracts to an organization.

## IV.2.3 Cost Allocation Plan

Cost allocation plans are addressed in OMB A-87 and, although not specifically addressed, the same basic concept is discussed under direct costing of indirect costs in OMB A-122.

## IV.2.4 Allowability of Selected Costs

The charts on the following pages provide quick references to specific items of cost, indicating whether each cost is generally allowable or allowable with approval of the granting agency.

**OMB Cost Principles - Selected Items of Cost**

Cost Category	A-87 State & Local Governments (Revised 5/10/04)	A-122 Non-Profit Organizations (Revised 5/10/04)	Allowable	Allowable With Approval	Not Allowable
Accounting	X		X		
Advertising – Specific purchases	X	X	X		
Advisory council	X		X		
Alcoholic beverages		X			X
Audit services	X		X		
Automatic data processing	X			X	
Bad debts	X	X			X
Bid and proposal costs (reserved)		X			
Bonding costs	X	X	X		
Budgeting	X		X		
Building lease management	X		X		
Communication costs	X	X	X		
Compensation for personal services	X	X	X		



**OMB Cost Principles - Selected Items of Cost**

<b>Cost Category</b>	<b>A-87 State &amp; Local Governments (Revised 5/10/04)</b>	<b>A-122 Non-Profit Organizations (Revised 5/10/04)</b>	<b>Allowable</b>	<b>Allowable With Approval</b>	<b>Not Allowable</b>
Contingency provisions	X	X			X
Contributions	X	X			X
Defense and prosecution - Read allowability	X	X			
Depreciation and use allowances	X	X	X		
Disbursing services	X		X		
Donations		X			X
Employee morale, health and welfare costs and credits	X	X	X		
Entertainment costs	X	X			X
Equipment and other capital expenditures	X	X		X	
Fines and penalties	X	X			X
Fringe benefits	X	X	X		
General government expenses	X				X
Goods/services for personal use		X			X
Housing and personal living expenses		X			X
Idle facilities and idle capacity	X	X		X	
Independent research and development (reserved)		X			
Insurance and Indemnification	X	X	X		
Interest, fund-raising, and investment management costs – Read the regulations	X	X			X
Labor relations costs		X	X		
Legal expenses	X	X	X		

**OMB Cost Principles - Selected Items of Cost**

<b>Cost Category</b>	<b>A-87 State &amp; Local Governments (Revised 5/10/04)</b>	<b>A-122 Non-Profit Organizations (Revised 5/10/04)</b>	<b>Allowable</b>	<b>Allowable With Approval</b>	<b>Not Allowable</b>
Lobbying	X	X			X
Losses on other awards	X	X			X
Maintenance and repair costs	X	X	X		
Materials and supplies	X	X	X		
Meetings, conferences	X	X	X		
Memberships, subscriptions, and professional activity costs	X	X	X		
Motor pools	X		X		
Organization costs		X		X	
Overtime, extra pay shift, and multi-shift premiums	X	X	A-87	A-122	
Page charges in professional journals		X	X		
Participant support costs		X		X	
Patent costs		X	X		
Payroll preparation	X		X		
Pension plans	X	X	X		
Personnel administration	X		X		
Plant security costs		X	X		
Pre-award costs	X	X		X	
Professional costs	X	X	X		
Profit and losses on disposition of depreciable property, or other capital assets	X	X	X		
Proposal costs	X			X	
Publication and printing costs	X	X	A-87	A-122	
Rearrangement and alteration costs	X	X		X	
Reconversion costs	X	X	X		

**OMB Cost Principles - Selected Items of Cost**

<b>Cost Category</b>	<b>A-87 State &amp; Local Governments (Revised 5/10/04)</b>	<b>A-122 Non-Profit Organizations (Revised 5/10/04)</b>	<b>Allowable</b>	<b>Allowable With Approval</b>	<b>Not Allowable</b>
Recruiting costs		X	X		
Relocation costs – Subject to limitations		X	X		
Rental costs	X	X	X		
Royalties and other costs for use of patents and copyrights		X	X		
Severance pay	X	X	X		
Specialized service facilities		X	X		
Taxes	X	X	X		
Termination costs		X	X		
Training and education costs	X	X	X		
Transportation costs	X	X	X		
Travel costs	X	X	X		
Trustee travel and subsistence		X	X		
Under recovery	X				X

**IV.3 FINANCIAL AUDITS**

The DOE financial assistance regulations (10 CFR 600) require recipients to comply with the requirements of OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations.

The audit threshold has been increased to \$500,000 of federal award expenditures. The prior threshold, under A-133 was \$300,000. All non-federal entities that expend \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of A-133. The \$500,000 federal funds threshold includes funds from all federal agencies. For purposes of the single-audit, PVE funds are not treated as federal or appropriated funds. Subrecipients that spend less than \$500,000 are no longer required to have a single audit. The circular prohibits pass-through entities (states) from charging to federal awards the costs of single audits for such recipients. States may not budget for audits of

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subgrantees receiving less than \$500,000 of federal funds. Pass through entities (states) are held responsible for federal awards administered by their subrecipients and will need to review their overall subrecipients monitoring process to determine if they need additional monitoring procedures to ensure subrecipient compliance.

Grantees that expend more than \$50 million in federal awards will be assigned a cognizant agency. Grantees that expend \$50 million or less will be assigned an oversight agency. Both cognizant and oversight agencies will be reassigned every 5 years and will be the federal agency that provides the predominance of federal funding in the reassignment year.

#### **IV.4 REPORTING**

Some of the forms to be used by grantees to report weatherization production and expenditures have been significantly revised. The revised package of forms shall be used effective with PY 2005 and are included in Section VI of this package.

Quarterly reporting forms include:

- (1) Financial Status Report (Long Form), Standard Form 269 (Revised 7-97);
- (2) Quarterly Program Report (Revised 12-04); and

Annual Reporting includes:

- (1) Training and Technical Assistance Activities;
- (2) Monitoring Activities; and,
- (3) Leveraging Updates.

Revisions to the reporting forms were needed for several reasons. Provisions of the interim final rule (10 CFR 440), published December 8, 2000, necessitate several additional reporting categories (e.g., high energy users and households with high energy burdens). Legislative changes removed several reporting categories (e.g., capital-intensive materials, labor, and program support). Please note the addition of a new question regarding heating fuel in the Quarterly Program Report, Section II, C, #4, to assist in providing more accurate estimates of energy savings based on production.

Overall, the reporting forms were revised to reduce the reporting burden on States and provide more flexibility. It should be noted that while the budget plans expenditures by funding source, grantees are not required to report expenditures by funding source. However, their financial management control systems must be adequate to show this level of detail as required by the Common Rule (10 CFR 600, Subpart C [formerly Subpart E]).

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Note: The official reporting requirements are included as Appendix D of the grant award via DOE F 4600.2 Federal Assistance Reporting Checklist.

#### **IV.4.1 Quarterly Financial Status Report, SF-269**

The Financial Status Report (Long Form), SF-269, is required by the U.S. Department of Energy's Common Rule (10 CFR 600, Subpart C). The SF-269 remains unchanged from previous program years. The standard instructions for completing the SF-269 are located on the back of the form.

#### **IV.4.2 Quarterly Program Report**

All items reported under the Quarterly Program Report are expenditures and activities approved under the DOE grant budget. Section I, the Grant Outlays, is to report outlays and funding used to weatherization activities that comply with the final rule governing the U.S. Department of Energy's Weatherization Assistance Program (10 CFR 440) and approved under the DOE budget.

#### **IV.4.3 Annual Reporting of Training, Technical Assistance, Monitoring, and Leveraging Activities**

These reports are to be submitted annually, 30 days after the end of the reporting period, to transfer other information featuring state weatherization activities including training and technical assistance activities, monitoring activities, and leveraging updates. The specific information requested in each category is captured on the forms located in Section VI. States may also indicate or inform DOE of any publications such as brochures, or articles that highlight the states' weatherization activities.

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## V. STATE APPLICATION CHECKLIST

### Grant Application Cover

Application for Federal Assistance, Standard Form 424 Version 2 ..... V-3

### Budget Information

Federal Assistance Budget Information, Standard Form 424A ..... V-9

Golden Budget Explanation for Formula Grants (GO-PF20a) ..... V-13

### Other Annual File Information

Annual File Worksheet ..... V-17

Subgrantee Information ..... V-21

### Assurance/Certifications

DOE F 1600.5 - U.S. Department of Energy Assurance of  
Compliance Nondiscrimination in Federally Assisted Programs ..... V-23

FA-CERTS (3/97) - Certifications Regarding Lobbying,  
Debarment, Suspension and Other Responsibility  
Matters: and Drug-Free Workplace Requirements ..... V-25

Budget forms can be found on the Internet at [www.go.doe.gov](http://www.go.doe.gov). As of November 18, 2005,  
Standard Form 424 Version 2 was only available at <http://www.grants.gov/GovtWideFormsDev>.

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**Application for Federal Assistance SF-424**

Version 02

**\* 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

**\* 2. Type of Application:**

- New
- Continuation
- Revision

**\* If Revision, select appropriate letter(s):**

**\* Other (Specify)**

**\* 3. Date Received:**

Completed by Grants.gov upon submission.

**4. Applicant Identifier:**

**5a. Federal Entity Identifier:**

**5b. Federal Award Identifier:**

**State Use Only:**

**6. Date Received by State:**

**7. State Application Identifier:**

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:**

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

**\* c. Organizational DUNS:**

**d. Address:**

**\* Street1:**

**Street2:**

**\* City:**

**County:**

**\* State:**

**Province:**

**\* Country:**

**\* Zip / Postal Code:**

**e. Organizational Unit:**

**Department Name:**

**Division Name:**

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:**

**\* First Name:**

**Middle Name:**

**\* Last Name:**

**Suffix:**

**Title:**

**Organizational Affiliation:**

**\* Telephone Number:**

**Fax Number:**

**\* Email:**

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

**11. Catalog of Federal Domestic Assistance Number:**

CFDA Title:

**\* 12. Funding Opportunity Number:**

\* Title:

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\* 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

\* a. Federal

\* b. Applicant

\* c. State

\* d. Local

\* e. Other

\* f. Program Income

\* g. TOTAL

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes  No

Explanation

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**\*\* I AGREE**

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:

\* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:

\* Date Signed:

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**INSTRUCTIONS FOR THE SF-424**

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including 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.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.  A. Increase Award      B. Decrease Award  C. Increase Duration    D. Decrease Duration  E. Other (specify)</li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions: <b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. <b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. <b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. <b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). <b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
		18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
		19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the

	<p>assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>		<p>State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
20.			<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 420 844 997"> <tr> <td data-bbox="154 420 503 451">A. State Government</td> <td data-bbox="511 420 844 493">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 451 503 483">B. County Government</td> <td data-bbox="511 493 844 567">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 483 503 514">C. City or Township Government</td> <td data-bbox="511 567 844 619">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="154 514 503 546">D. Special District Government</td> <td data-bbox="511 619 844 651">P. Individual</td> </tr> <tr> <td data-bbox="154 546 503 577">E. Regional Organization</td> <td data-bbox="511 651 844 682">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="154 577 503 609">F. U.S. Territory or Possession</td> <td data-bbox="511 682 844 714">R. Small Business</td> </tr> <tr> <td data-bbox="154 609 503 640">G. Independent School District</td> <td data-bbox="511 714 844 745">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="154 640 503 672">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="511 745 844 777">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="154 672 503 703">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="511 777 844 808">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="154 703 503 735">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="511 808 844 840">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="154 735 503 766">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="511 840 844 871">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="154 766 503 798">L. Public/Indian Housing Authority</td> <td data-bbox="511 871 844 903">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)																										
C. City or Township Government	O. Private Institution of Higher Education																										
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L. Public/Indian Housing Authority	X. Other (specify)																										

## Budget Information – Non Construction Programs

OMB Approval No.0348-0044

Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-federal (f)	Total (g)
1.						
2.						
3.						
4.						
<b>5. Totals</b>						
Section B – Budget Categories						
Grant Program, Function or Activity						Total (5)
6. Object Class Categories		(1) Grantee Administration	(2) Subgrantee Administration	(3) Grantee T&TA	(4) Subgrantee T&TA	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. <b>Totals</b> (sum of 6i and 6j)						
7. Program Income						

SF-424A (Rev. 7-97)  
Prescribed by OMB Circular A-102

## Budget Information – Non Construction Programs

OMB Approval No.0348-0044

Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. <b>Totals</b>						
Section B – Budget Categories						
Grant Program, Function or Activity						Total (5)
6. Object Class Categories		(1) Program Operations	(2) Health and Safety	(3) Vehicles and Equipment	(4) Liability Insurance	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. <b>Totals</b> (sum of 6i and 6j)						
7. Program Income						

SF-424A (Rev. 7-97)  
Prescribed by OMB Circular A-102



## Budget Information – Non Construction Programs

OMB Approval No.0348-0044

Section A – Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-federal (f)	Total (g)
1.						
2.						
3.						
4.						
<b>5. Totals</b>						
Section B – Budget Categories						
Grant Program, Function or Activity						Total (5)
6. Object Class Categories		(1) Leveraging	(2) Financial Audits	(3)	(4)	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges						
k. <b>Totals</b> (sum of 6i and 6j)						
7. Program Income						

SF-424A (Rev. 7-97)  
Prescribed by OMB Circular A-102

## Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 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. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column (a)** and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

**For new applications**, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

**For continuing grant program applications**, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

**For supplemental grants and changes** to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5**—Show the totals for all columns used.

### Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i**—Show the totals of Lines 6a to 6h in each column.

**Line 6j**—Show the amount of indirect cost.

**Line 6k**—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7**—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.



## BUDGET EXPLANATION FOR FORMULA GRANTS

Provide detailed information to support each Cost Category using this form. Cost breakdown estimates may be entered on this form or attach a breakdown of costs using your own format as Attachment A.

**1. PERSONNEL** – Prime Applicant only (all other participant costs must be listed on 6. below and form DOE F 4600.4, Section B. Line 6.f. Contracts and Sub Grants.

- a. Identify, by title, each position to be supported under the proposed award.
- b. Briefly specify the duties of professionals to be compensated under this project.

**2. FRINGE BENEFITS** –

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.
- b. If a above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

**3. TRAVEL** - Identify total Foreign and Domestic Travel as separate items.

- a. Indicate the purpose(s) of proposed travel.
- b. Specify the basis for computation of travel expenses (e.g., current airline ticket quotes, past trips of a similar nature, federal government or organization travel policy, etc.).

4. **EQUIPMENT** – as defined in 10 CFR 600.202. Definitions can be found at [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/10cfr600\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html).
- a. Provide the basis for the equipment cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).
  - b. Briefly justify the need for items of equipment to be purchased.
5. **MATERIALS AND SUPPLIES** – as defined in 10 CFR 600.202. Definitions at [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/10cfr600\\_00.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html).
- a. Provide the basis for the materials and supplies cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).
  - b. Briefly justify the need for items of material to be purchased.
6. **CONTRACTS AND SUBGRANTS** – All other participant costs including subcontractor, sub-grants, and consultants.

Provide the information below for new proposed sub recipients and subcontractors. For ongoing subcontractors and sub recipients, if this information is provided elsewhere in the application, it does not have to be restated here, but please indicate the document and page numbers where it can be found.

<u>Name of Proposed Sub</u>	<u>Total Cost</u>	<u>Basis of Cost*</u>
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\* For example—Competitive, Historical, Quote, Catalog

7. **OTHER DIRECT COSTS** - Include all direct costs not included in above categories.
- a. Provide the basis for the cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).
  - b. Briefly justify the need for items to be purchased.

**8. INDIRECT COSTS -**

- a. Are the indirect cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.
  
- b. If a above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

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**U.S. Department of Energy  
WEATHERIZATION ANNUAL FILE WORKSHEET**

**Grant #:** \_\_\_\_\_ **Amendment:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Program Year:** \_\_\_\_\_

**Budget Period:** \_\_\_\_\_

**II.3 Subgrantees**

Grantee	City	Tentative	
		Funding*	Units*
<b>Totals</b>			

\* Funding can include non-DOE sources if included in DOE budget. Units can include those completed with non-DOE funding if included in the DOE budget.

**II.4 Production Schedule**

<b>Number of Units</b> (Excluding reweatherized)	
<b>Reweatherized Units</b>	

<b>Average Unit Costs, including Reweathering, Subject to DOE Program Rules*</b>	
VEHICLES & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)	
A Total Vehicles & Equipment (\$5,000 or more) Budget	
B Units Weatherized	
C Units Reweatherized	
D Total Dwelling Units to be Weatherized and Reweatherized (B+C)	
E Average Vehicle & Equipment Acquisition Cost per Unit (A divided by D)	
AVERAGE COST PER DWELLING UNIT (DOE RULES*)	
F Total Funds for Program Operations**	
G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	
H Average Program Operations Cost per Unit (F divided by G)	
I Average Vehicle & Equipment Acquisition Cost per Unit (from line E)	
J Total Average Cost per Dwelling (H plus I)	

\* Funding can include non-DOE sources if included in DOE budget. Units can include those completed with non-DOE funding if included in the DOE budget.

\*\* Funds for program operations include expenditures described by 440.18(c)(1) through (9).

**II.5 Energy Savings**

Method used to calculate energy savings:    WAP algorithm:     Other (describe below):

Estimated energy savings (Mbtus): \_\_\_\_\_

Other Energy Savings Method Description

**II.6 Training, Technical Assistance, and Monitoring Activities**

**U.S. Department of Energy  
WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

**Grant:** \_\_\_\_\_ **Amendment:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Program Year:** \_\_\_\_\_

**Budget Period:** \_\_\_\_\_

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**II.7 DOE-Funded Leveraging Activities**

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**II.8 Policy Advisory Committee Members**


**II.9 State Plan Hearings (send notes, minutes, or transcript to the Regional Office)**

Hearing Date:	Newspapers that publicized the hearings and the dates that the notice ran.
If desired, hearing notes or transcripts may be cut and pasted into this space.	

**II.10 Adjustments to On-File Information**

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**II.11 Miscellaneous**

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**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.**

U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
ANNUAL FILE WORKSHEET  
INSTRUCTIONS

The Annual File Worksheet is designed to gather specific detail related to the expenditures of the Weatherization grant.

Grant number: The seven-digit Federal identification number assigned to the grant (R999999).  
Amendment: If applicable.  
State: Name of state or tribal organization submitting the report.  
Program Year: The beginning and ending dates (mm/dd/yy) for the Program Year reported.  
Budget period: The starting and ending dates (mm/dd/yy) for the budget period for the WAP program year.

Item	Explanation
II.3 Subgrantees	
■ Grantee	Identify each intended subgrantee by name
■ City	Identify the city in which the agency resides
■ Funding	Identify the tentative funding each agency will receive
■ Units	Identify the tentative total of completed units anticipated by the agency with this funding
II.4 Production Schedule	
■ Total Units	Calculate the total units expected to be weatherized for this program year, excluding reweatherized units
■ Reweatherized Units	Calculate the number of reweatherized units to be completed this program year.
■ Average Unit Costs, including Reweatherization, Subject to DOE Program /Rules	Enter data for and add and subtract, as specified to determine the average unit costs for units subject to DOE Program/Rules
II.5 Energy Savings	Identify whether the states will use the WAP Algorithm or Other method to calculate the estimated energy savings; if other method, description must be entered  Identify the actual estimated energy savings in Mbtus attributed to this funding and program year
II.6 Training, Technical Assistance and Monitoring Activities	State weatherization training, technical assistance, and monitoring activities anticipated during this program year, including any publications or materials planned
II.7 DOE-Funded Leveraging Activities	State weatherization leveraging activities anticipated during this program year using DOE funding
II.8 Policy Advisory Committee Members	Provide the names, groups, organizations, or agencies represented by the PAC members and a list of the PAC meeting(s) attendees

II.9	State Plan Hearings	Identify the hearing date(s); a list of the newspapers that publicized the hearings including the dates the notices ran (notes, minutes, or transcripts should be sent to the appropriate Regional Office)
II.10	Adjustments to On-File Information	Identify any items that have changed since the previous year to the on-file information stored at the state
II.11	Miscellaneous	Identify any anticipated activities that are not routinely administered as part of the Weatherization Assistance Program (e.g., disaster relief, energy crisis response)

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**U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

**Grant #:** \_\_\_\_\_ **Amendment:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Program Year:** \_\_\_\_\_

Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Address 1: \_\_\_\_\_ \*Contact: \_\_\_\_\_

Address 2: \_\_\_\_\_ \*Fax: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

\*Email: \_\_\_\_\_

Tentative allocation:	
Planned units:	
Type of organization:	
Sources of Labor:	

Counties served:

Congressional Districts:

\* These fields are optional.

Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Address 1: \_\_\_\_\_ \*Contact: \_\_\_\_\_

Address 2: \_\_\_\_\_ \*Fax: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

\*Email: \_\_\_\_\_

Tentative allocation:	
Planned units:	
Type of organization:	
Sources of Labor:	

Counties served:

Congressional Districts:

\* These fields are optional.

Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Address 1: \_\_\_\_\_ \*Contact: \_\_\_\_\_

Address 2: \_\_\_\_\_ \*Fax: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

\*Email: \_\_\_\_\_

Tentative allocation:	
Planned units:	
Type of organization:	
Sources of Labor:	

Counties served:

Congressional Districts:

\* These fields are optional.

**OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 1½ 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.**

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U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
WAP SUBGRANTEE INFORMATION  
INSTRUCTIONS

Grant number: The seven-digit Federal identification number assigned to the grant (R999999).  
Amendment: If, applicable.  
State: Name of state or tribal organization submitting the report.  
Program Year: The beginning and ending dates (mm/dd/yy) for the Program Year reported.

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Item	Explanation
Name	Name of subgrantee contracted by the state to perform weatherization services (Required)
Contact	Name of contact at the agency (Optional)
Address, City, State, Zip Code, and Phone	Self-explanatory (Required)
Fax, Email	Self-explanatory (Optional)
Tentative Allocation	Self-explanatory (Required). Tentative allocation can include non-DOE funding if included in the DOE budget.
Planned Units	Self-explanatory (Required). Planned units can include those completed with non-DOE funds if included in DOE budget.
Type of Organization	Local action agency, non-profit, tribal organization, unit of local government (Required)
Sources of Labor	Crews, contractors, or both (Required)
Counties Served	Self-explanatory (Required)
Congressional Districts	Self-explanatory (Required)

Complete this information for each subgrantee.

**U.S. Department of Energy  
Assurance of Compliance  
Nondiscrimination in Federally Assisted Programs**

**OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 15 minutes 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 this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

(Hereinafter called the "Applicant")  
HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub. L. 93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub. L. 93-438), Title IX of the Education Amendments of 1972, as amended, (Pub. L. 92-318, Pub. L. 93-568, and Pub. L. 94-482), Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), the Age Discrimination Act of 1975 (Pub. L. 94-135), Title VIII of the Civil Rights Act of 1968 (Pub. L. 90-284), the Department of Energy Organization Act of 1977 (Pub. L. 95-91), the Energy Conservation and Production Act of 1976, as amended, (Pub. L. 94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

**Applicability and Period of Obligation**

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

**Employment Practices**

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment, advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

**Subrecipient Assurance**

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws and regulations cited above. To this end, the subrecipient shall be required to sign a written assurance form; however, the obligation of both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

**Data Collection and Access to Records**

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, age, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age, and disability in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to the obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy. Facilities of the Applicant (including the physical plants, buildings, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours on request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereof, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. The assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signatures appear below and who are authorized to sign this assurance on behalf of the Applicant.

**Applicant Certification**

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

\_\_\_\_\_  
Name and Title (Printed or Typed) Telephone Number

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Applicant's Name Telephone Number

\_\_\_\_\_  
Address Date

Authorized Official:  
President, Chief Executive Officer  
or Authorized Designee

\_\_\_\_\_  
Name and Title (Printed or Typed) Telephone Number

\_\_\_\_\_  
Signature Date

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

**1. LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. Standard Form-LLL not required

Funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement. If checked, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period receding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft,

forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**3. DRUG-FREE WORKPLACE**

This certification is required by the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

**ALTERNATE I  
(GRANTEES OTHER THAN INDIVIDUALS)**

(1) The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about:
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
  - (1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the work-place not later than five calendar days after such conviction.

- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to energy grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
  - (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance:  
(Street address, city, county, state, zip code)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Check if there are workplaces on file that are not identified here.

**4. LOBBYING DISCLOSURE ACT OF 1995, SIMPSON-CRAIG AMENDMENT**

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

*Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational, or recreational purposes.*

As set forth in the Lobbying Disclosure Act of 1995 (Public Law 104-65, December 19, 1995), as amended ["Simpson-Craig Amendment," see Section 129 of The Balanced Budget Downpayment Act, I (Public Law 104-99, January 26, 1996)], lobbying activities is defined broadly. (See section 3 of the Act.)

The undersigned certifies, to the best of his or her knowledge and belief, that: it IS NOT an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; OR that it IS an organization described in section 501(c)(4) of the Internal Revenue Code of 1986, which, after December 31, 1995, HAS NOT engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

**ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)**

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substances in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

FA-CERTS (10/01)



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## VI. REPORTING CHECKLIST

### Quarterly Reporting

Financial Status Report (Long Form), Standard Form 269 ..... VI-3

Quarterly Program Report..... VI-5

### Annual Reporting

Training, Technical Assistance, Monitoring, and Leveraging Report Format ..... VI-9

Reporting forms can be found on the Internet at [www.go.doe.gov](http://www.go.doe.gov)

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Standard Form 269

FINANCIAL STATUS REPORT  
(Long Form)  
(Follow instructions on the back)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned By Federal Agency		OMB Approval No. 0348-0039	Page of Pages
3. Recipient Organization (Name and complete address, including ZIP code)					
4. Employer Identification Number		5. Recipient Account Number or Identifying Number		6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual
8. Funding/Grant Period (See instructions) From: (Month, Day, Year)		To: (Month, Day, Year)		9. Period Covered by this Report From: (Month, Day, Year) To: (Month, Day, Year)	
10. Transactions:		I Previously Reported	II This Period	III Cumulative	
a. Total outlays					
b. Refunds, rebates, etc.					
c. Program income used in accordance with the deduction alternative					
d. Net outlays (Line a, less the sum of lines b and c)					
Recipient's share of net outlays, consisting of:					
e. Third party (in-kind) contributions					
f. Other Federal awards authorized to be used to match this award					
g. Program income used in accordance with the matching or cost sharing alternative					
h. All other recipient outlays not shown on lines e, f or g					
i. Total recipient share of net outlays (Sum of lines e, f, g and h)					
j. Federal share of net outlays (line d less line i)					
k. Total unliquidated obligations					
l. Recipient's share of unliquidated obligations					
m. Federal share of unliquidated obligations					
n. Total federal share (sum of lines j and m)					
o. Total federal funds authorized for this funding period					
p. Unobligated balance of federal funds (Line o minus line n)					
Program income, consisting of:					
q. Disbursed program income shown on lines c and/or g above					
r. Disbursed program income using the addition alternative					
s. Undisbursed program income					
t. Total program income realized (Sum of lines q, r and s)					
11. Indirect Expense	a. Type of Rate (Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed				
	b. Rate	c. Base	d. Total Amount	e. Federal Share	
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:					
13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purpose set forth in the award documents.					
Typed or Printed Name and Title				Telephone (Area code, number and extension)	
Signature of Authorized Certifying Official				Date Report Submitted	

Standard Form 269  
FINANCIAL STATUS REPORT  
(Long Form)

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including 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 (0348-0039), 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.

Please type or print legibly. The following general instructions explain how to use the form itself. You may need additional information to complete certain items correctly, or to decide whether a specific item is applicable to this award. Usually, such information will be found in the Federal agency's grant regulations or in the terms and conditions of the award (e.g., how to calculate the Federal share, the permissible uses of program income, the value of in-kind contributions, etc.). You may also contact the Federal agency directly.

Item	Entry	Item	Entry
1, 2 and 3.	Self-explanatory.	10.b.	Enter any receipts related to outlays reported on the form that are being treated as a reduction of expenditure rather than income, and were not already netted out of the amount shown as outlays on line 10a.
4.	Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service.	10.c	Enter the amount of program income that was used in accordance with the deduction alternative.
5.	Space reserved for an account number or other identifying number assigned by the recipient.	Note:	Program income used in accordance with other alternatives is entered on lines q, r, and s. Recipients reporting on a cash basis should enter the amount of cash income received; on an accrual basis, enter the program income earned. Program income may or may not have been included in an application budget and/or a budget on the award document. If actual income is from a different source or is significantly different in amount, attach an explanation or use the remarks section.
6.	Check yes only if this is the last report for the period shown in item 8.	10d, e, f, g, h, i, and j.	Self-explanatory.
7.	Self-explanatory.	10k.	Enter the total amount of unliquidated obligations, including unliquidated obligations to subgrantees and contractors.  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 outlay has not yet been recorded.  Do not include any amounts on line 10k that have been included on lines 10a and 10j.  On the final report, line 10k must be zero.
8.	Unless you have received other instructions from the awarding agency, enter the beginning and ending dates of the current funding period. If this is a multi-year program, the Federal agency might require cumulative reporting through consecutive funding periods. In that case, enter the beginning and ending dates of the grant period, and in the rest of these instructions, substitute the term "grant period" for "funding period."	10l.	Self-explanatory.
9.	Self-explanatory.	10m.	On the final report, line 10m must also be zero.
10.	The purpose of columns I, II and III is to show the effect of this reporting period's transactions on cumulative financial status. The amounts entered in column I will normally be the same as those in column III of the previous report <i>in the same funding period</i> . If this is the first or only report of the funding period, leave columns I and II blank. If you need to adjust amounts entered on previous reports, footnote the column I entry on this report and attach an explanation.	10n, o, p, q, r, s and t.	Self-explanatory.
10a.	Enter total gross program outlays. Include disbursements of cash realized as program income in that income will also be shown on lines 10c or 10g. Do not include program income that will be shown on lines 10r or 10s.  For reports prepared on a cash basis, outlays are the sum of actual cash disbursements for direct costs for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances payments made to subrecipients. For reports prepared on an accrual basis, outlays are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase or decrease in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors, subgrantees and other payees, and other amounts becoming owed under programs for which no current services or performances are required, such as annuities, insurance claims, and other benefit payments.	11a.	Self-explanatory.
		11b.	Enter the indirect cost rate in effect during the reporting period.
		11c.	Enter the amount of the base against which the rate was applied.
		11d.	Enter the total amount of indirect costs charged during the report period.
		11e.	Enter the Federal share of the amount in 11d.
		Note:	If more than one rate was in effect during the period shown in item 8, attach a schedule showing the bases against which the different rates were applied, the respective rates, the calendar periods they were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date.

SF 269 BACK (Rev 7-97)

U.S. Department of Energy  
 WEATHERIZATION ASSISTANCE PROGRAM  
**QUARTERLY PROGRAM REPORT**

State: \_\_\_\_\_

Budget period: / / - / /

Grant Number: \_\_\_\_\_

**I. GRANT OUTLAYS - FUNDS SUBJECT TO DOE PROGRAM RULES (rounded to the nearest dollar)**

Reporting Period Quarter	/ - /	/ - /	/ - /	/ - /	Total To Date
	Q1	Q2	Q3	Q4	
<b>A. OUTLAYS BY FUND SOURCE</b>					
DOE					
Other funds included in grant budget, section A					
Total Grant Outlays					
<b>B. OUTLAYS BY FUNCTION</b>					
Grantee Administration					
Subgrantee Administration					
Grantee T&TA					
Subgrantee T&TA					
Program Operations Total					
Health and Safety					
Vehicles and Equipment -- Acquisition Cost *					
Liability Insurance					
Leveraging					
Financial Audits					
Total Grant Outlays					
Vehicles and Equipment -- Amortized Cost *					

Notes: Total grant outlays must equal outlays reported on the Financial Status Report, line 10.d.  
 \* Acquisition (actual cost to purchase) vehicle and equipment costs must be included on this form and are used to match net outlays on the FSR. Amortized vehicle and equipment costs are used to calculate the average cost per unit.

(11/2005)

U.S. Department of Energy  
**WEATHERIZATION ASSISTANCE PROGRAM**  
**QUARTERLY PROGRAM REPORT**

State: \_\_\_\_\_

Budget period: / / - / /

Grant Number: \_\_\_\_\_

**II. GRANT PRODUCTION**

Quarter	Q1	Q2	Q3	Q4	Total to Date
<b>A. TOTAL ANNUAL ENERGY SAVINGS (final report only)</b>					
<b>B. DOE UNITS* (includes other funds if included in DOE budget)</b>					
1. UNITS BY TYPE					
Owner-Occupied Single Family Site Built					
Single-Family Rental Site Built					
Multi-Family (5 or more units per building)					
Owner-Occupied Mobile Home					
Renter-Occupied Mobile Home					
Shelter					
2. UNITS BY PRIMARY HEATING FUEL**					
Natural Gas					
Fuel Oil					
Electricity					
Propane/LPG					
Kerosene					
Wood					
Other					
3. UNITS BY OCCUPANCY					
Elderly-Occupied					
Disabled-Occupied					
Native American-Occupied					
Children-Occupied					
High Residential Energy User					
Household with a High Energy Burden					
4. OTHER UNIT CATEGORIES					
Reweatherized Total					
<b>C. TOTAL PEOPLE ASSISTED WITH GRANT FUNDS* (includes other funds if included in DOE budget)</b>					
Elderly					
Persons with Disabilities					
Native Americans					
Children					
<b>D. Leveraged Units (units completed with other funds that are not included in DOE budget, any part of the definition of a DOE unit has been met)</b>					

\* Do not include reweatherized units in sections B.1, B.2, B.3 and C.

\*\* "Primary Heating Fuel" is the fuel that provides the most space heat in the home.

**III. COMMENTS**

Submitted by \_\_\_\_\_ Date \_\_\_\_\_

Type name \_\_\_\_\_

Title \_\_\_\_\_

(11/2005)

**OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 2 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.**

U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
**QUARTERLY PROGRAM REPORT**  
INSTRUCTIONS

The Quarterly Program Report format is designed to gather production and expenditure data. This report is to be submitted quarterly to the applicable Department of Energy Regional Office 30 days after the end of the reporting period.

State: Name of state or tribal organization submitting the report.  
Budget period: The starting and ending dates (mm/dd/yy) for the budget period for the WAP program year.  
Grant number: The seven-digit Federal identification number assigned to the grant (R999999).  
Reporting period: The beginning and ending dates (mm/dd) for the quarter reported.

I. GRANT OUTLAYS - FUNDS SUBJECT TO DOE PROGRAM RULES

- A. By fund source: Outlays this quarter and program year to date for
1. DOE funds
  2. All other funds listed in the grant budget, Section A, including PVE (Exxon, Stripper-Well, etc.), LIHEAP, state, local, and private funds that are *part of the approved DOE grant budget*.
- B. By function: Outlays this quarter and program year to date for each function in the DOE grant budget, section B. *Total must equal total in A.2 above.*
1. Acquisition (actual) vehicle and equipment costs are used to match net outlays in FSR. Amortized vehicle and equipment costs are used to calculate the average cost per unit.

II. GRANT PRODUCTION

*Enter figures only for the quarter being reported except to correct previous quarter information. Include reweatherized and low cost/no cost units only in section B.4.*

- A. Estimated Total Annual Energy Savings Estimate of total annual energy saved as a result of weatherization work. *Include in final report only.*
- B. DOE units completed *this quarter* with all funds included in the approved DOE grant budget, all sources.
1. Units by type: Number completed this quarter by type specified. The sum should equal total units completed with funds in the approved DOE budget. A completed unit in a building containing five or more units should be reported as a Multi-Family unit. A completed unit in a building containing four units or less should be reported under one of the two Single-Family categories. For example, if both units in a renter-occupied duplex are weatherized, they should be reported as two Single-Family Rental Site Built completions.
  2. Units by primary heating fuel: Number of units completed by category of primary heating fuel. Primary heating fuel is the fuel that provides the most space heat in the home.
  3. Units by occupant: Number of units completed by category of occupant. The sum will not equal total units completed.
  4. Other categories: Units reweatherized.
- C. Persons assisted with funds included in the DOE grant budget, all sources: Total and by category. Sum of persons by category will not equal total persons assisted.
- D. Leveraged units completed with other funds not included in the DOE budget provided any part of the definition of a DOE unit has been met.

III. COMMENTS

Include here any additional information needed to clarify grant outlays and production reported this quarter.

Submitted by: Signature of the person submitting the report.

Date signed.

Typed name and title of the submitter.

(11/2005)



U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
**ANNUAL TRAINING, TECHNICAL ASSISTANCE, MONITORING, AND LEVERAGING REPORT**

State \_\_\_\_\_ Program Year \_\_\_\_\_ Grant Number \_\_\_\_\_

Reporting period \_\_\_/\_\_\_/\_\_\_ - \_\_\_/\_\_\_/\_\_\_

**TRAINING AND TECHNICAL ASSISTANCE ACTIVITIES**

Please describe the training and technical assistance (T&TA) activities conducted during the past program year.

(11/2005)

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U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
**ANNUAL TRAINING, TECHNICAL ASSISTANCE, MONITORING, AND LEVERAGING REPORT**

State \_\_\_\_\_ Program Year \_\_\_\_\_ Grant Number \_\_\_\_\_

Reporting period \_\_\_/\_\_\_/\_\_\_ - \_\_\_/\_\_\_/\_\_\_

**MONITORING ACTIVITIES**

Please list the subgrantees monitored during the reporting period and indicate the focus and significant findings of each monitoring activity, as appropriate.

(11/2005)

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U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
**ANNUAL TRAINING, TECHNICAL ASSISTANCE, MONITORING, AND LEVERAGING REPORT**

State \_\_\_\_\_ Program Year \_\_\_\_\_ Grant Number \_\_\_\_\_

Reporting period \_\_\_/\_\_\_/\_\_\_ - \_\_\_/\_\_\_/\_\_\_

**LEVERAGING ACTIVITIES**

For each leveraging activity, states are to describe the type of project, the amount and source of funding (Note: the number of leveraged completed units will be reported on line D of the Quarterly Program Report.)

Submitted by \_\_\_\_\_ Date \_\_\_\_\_

Type name \_\_\_\_\_

Title \_\_\_\_\_

(11/2005)

**OMB Burden Disclosure Statement**

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U.S. Department of Energy  
WEATHERIZATION ASSISTANCE PROGRAM  
ANNUAL FILE WORKSHEET  
INSTRUCTIONS

The Annual Training, Technical Assistance, Monitoring, and Leveraging Report is to be submitted annually, 30 days after the end of the reporting period.

State: Name of state or tribal organization submitting the report.  
Program Year: The beginning and ending dates (mm/dd/yy) for the Program Year reported.  
Grant number: The seven-digit Federal identification number assigned to the grant (R999999).  
Reporting period: The starting and ending dates (mm/dd/yy) for the reporting period for the WAP program year.

Item	Explanation
Training and Technical Assistance Activities	Identify the training and technical assistance activities conducted during the past program year; may also include publications such as brochures, or articles that highlight the states' weatherization activities
Monitoring Activities	Identify the subgrantees monitored during the reporting period and indicate the focus and significant findings of each monitoring activity, as appropriate
Leveraging Activities	Identify and describe the type of projects executed and the amount and source of funding successfully leveraged

Submitted by: Signature of the person submitting the report.

Date signed.

Typed name and title of the submitter.

(11/2005)